

DYDD MERCHER, 26 IONAWR 2022

AT: HOLL AELODAU'R **PWYLLGOR CRAFFU POLISI AC  
ADNODDAU**

YR WYF DRWY HYN YN EICH GALW I FYNYCHU RHITH  
CYFARFOD O'R **PWYLLGOR CRAFFU POLISI AC ADNODDAU**  
SYDD I'W GYNNAL AM **10.00 YB AR DYDD MERCHER, 2AIL  
CHWEFROR, 2022** ER MWYN CYFLAWNI'R MATERION A  
AMLINELLIR AR YR AGENDA ATODEDIG.

*Wendy Walters*

**PRIF WEITHREDWR**

Swyddog Democrataidd:	<b>Martin S. Davies</b>
Ffôn (Llinell Uniongyrchol):	<b>01267 224059</b>
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Wendy Walters Prif Weithredwr, *Chief Executive*,  
Neuadd y Sir, Caerfyrddin. SA31 1JP  
*County Hall, Carmarthen. SA31 1JP*

# **PWYLLGOR CRAFFU POLISI AC ADNODDAU 13 AELOD**

## **GRŴP PLAID CYMRU – 6 AELOD**

- |    |             |                            |
|----|-------------|----------------------------|
| 1. | Y Cyngorydd | Kim Broom                  |
| 2. | Y Cyngorydd | Handel Davies              |
| 3. | Y Cyngorydd | Ken Howell                 |
| 4. | Y Cyngorydd | Gareth John (Is-Gadeirydd) |
| 5. | Y Cyngorydd | Carys Jones                |
| 6. | Y Cyngorydd | Elwyn Williams             |

## **GRŴP LLAFUR – 3 AELOD**

- |    |             |              |
|----|-------------|--------------|
| 1. | Y Cyngorydd | Deryk Cundy  |
| 2. | Y Cyngorydd | Kevin Madge  |
| 3. | Y Cyngorydd | John Prosser |

## **GRŴP ANNIBYNNOL – 3 AELOD**

- |    |             |                          |
|----|-------------|--------------------------|
| 1. | Y Cyngorydd | Sue Allen                |
| 2. | Y Cyngorydd | Arwel Davies             |
| 3. | Y Cyngorydd | Giles Morgan (Cadeirydd) |

## **GRŴP ANNIBYNNOL NEWYDD – 1 AELOD**

- |    |             |              |
|----|-------------|--------------|
| 1. | Y Cyngorydd | Jeff Edmunds |
|----|-------------|--------------|

# AGENDA

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2. DATGANIADAU O FUDDIANNAU PERSONOL GAN GYNNWYS UNRHYW CHWIPIAU PLEIDIAU A RODDIR MEWN YMATEB I UNRHYW EITEM AR YR AGENDA
3. CWESTIYNAU GAN Y CYHOEDD (NID OEDD DIM WEDI DOD I LAW)
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Mae'r dudalen hon yn wag yn fwriadol

## PWYLLGOR CRAFFU POLISI AC ADNODDAU 2<sup>il</sup> CHWEFROR 2022

### YMGYNGHORI YNGHYLCH STRATEGAETH Y GYLLIDEB REFENIW 2022/23 TAN 2024/25

Atodiad A - Strategaeth ar gyfer y Gyllideb Gorfforaethol o 2022/23 tan 2024/25

Atodiad A (i) - Crynodeb effeithlonrwydd sy'n ymwneud â'r Adrannau Prif Weithredwr a Gwasanaethau Corfforaethol

Atodiad A (ii) - Twf Gwasgedd sy'n ymwneud â'r Adrannau Prif Weithredwr a Gwasanaethau Corfforaethol

Atodiad B - Adroddiad Monitro Cyllideb sy'n ymwneud â'r Adrannau Prif Weithredwr a Gwasanaethau Corfforaethol

Atodiad C - Crynhoad o'r Taliadau sy'n ymwneud â'r Adrannau Prif Weithredwr a Gwasanaethau Corfforaethol

#### Ystyried y materion canlynol a chyflwyno sylwadau arnynt:

- Bod yr aelodau yn ystyried ac yn gwneud sylwadau ar gynlluniau strategaeth y gyllideb
- Bod yr aelodau yn ystyried ac yn gwneud sylwadau ar gynlluniau ar gyfer arbedion effeithlonrwydd yn eu meysydd gwasanaeth hwy, a glustnodir yn Atodiad A(i)
- Hefyd, bod yr aelodau'n cael gwahoddiad i gyflwyno unrhyw gynlluniau eraill ar gyfer arbedion effeithlonrwydd.
- Bod yr aelodau'n edrych yn fanwl ar y Gyllidebau Adrannol
- Bod yr aelodau'n cymeradwyo'r Crynhoadau o'r Taliadau

#### Rhesymau:

- Yn ei gyfarfod ar 17<sup>eg</sup> Ionawr 2022, bydd y Cabinet yn ystyried Strategaeth y Gyllideb Refeniw o 2022/23 tan 2024/25 (Atodiad A) ac yn cymeradwyo'r adroddiad at ddibenion ymgynghori. Yn y cyfarfod caiff y wybodaeth ddiweddaraf ei rhoi ar lafar ynghylch unrhyw newidiadau neu gynlluniau penodol gan y Cabinet, os bydd hynny'n briodol.

#### Angen cyfeirio'r mater at y Cabinet er mwyn gwneud penderfyniad:

NAC OES

#### Aelodau'r Cabinet sy'n gyfrifol am y Portffolio:

- Cyng. Emlyn Dole (Arweinydd)
- Cyng. David Jenkins (Adnoddau)
- Cyng. Ann Davies (Cymunedau a Materion Gwledig)

#### Y Gyfarwyddiaeth:

Gwasanaethau Corfforaethol

#### Enw'r Gyfarwyddwr:

Chris Moore

#### Awdur yr adroddiad:

Randal Hemingway

#### Swydd:

Pennaeth y Gwasanaethau  
Corfforaethol

#### Rhif Ffôn / Cyfeiriad E-bost:

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**EXECUTIVE SUMMARY  
POLICY & RESOURCES SCRUTINY COMMITTEE  
2<sup>nd</sup> FEBRUARY 2022**

**REVENUE BUDGET STRATEGY CONSULTATION  
2022/23 to 2024/25**

The objective of the report is to allow members to consider the corporate budget strategy for the financial years 2022/23 to 2024/25 to consider the service delivery impact and options for the forthcoming years.

The report is set out as follows:-

**Appendix A**

- The attached report is a copy of the Revenue Budget Strategy 2022/23 to 2024/25 that has been presented to the Cabinet. As part of the budget consultation process the report is presented to this Scrutiny Committee for your consideration.
- The report provides members with an initial view of the revenue budget issues for the forthcoming year and also reflects departmental submissions.

**Appendix B**

Current budget extracts for the Chief Executive and Corporate Services departments.

**Appendix C**

Charging Digest for the Chief Executive and Corporate Services departments. The charges for 2022/23 have yet to be adopted and any change to the proposed charges will impact on the budget/efficiency proposals.

**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: Chris Moore Director of Corporate Services**

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

### 1. Policy and Crime & Disorder

The budget is being prepared having regard to the Improvement Plan.

### 3. Finance

The report provides an initial view of the Budget Strategy for 2022/23, together with indicative figures for the 2023/24 and 2024/25 financial years. The impact on departmental spending will be dependent upon the final settlement from Welsh Government and the resultant final Budget adopted by County Council.

## CONSULTATIONS

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

**Signed: Chris Moore Director of Corporate Services**

**1. Local Member(s) – N/A**

**2. Community / Town Council – N/A**

**3. Relevant Partners –** Consultation with relevant partners will be undertaken and results will be reported during the budget process.

**4. Staff Side Representatives and other Organisations –** Consultation with other organisations will be undertaken and results will be reported during the budget process.

**CABINET MEMBER PORTFOLIO HOLDERS AWARE/CONSULTED?**  
YES

(Include any observations here)

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

**THESE ARE DETAILED BELOW:**

Title of Document	File Ref No. / Locations that the papers are available for public inspection
2022/23 3 year Revenue Budget	Corporate Services Department, County Hall, Carmarthen

Mae'r dudalen hon yn wag yn fwriadol



**REPORT OF DIRECTOR OF CORPORATE SERVICES**

**Policy & Resources Scrutiny Committee**

**2<sup>nd</sup> February 2022**

**REVENUE BUDGET STRATEGY 2022/23 to 2024/25**

**(Copy of Cabinet report 17/01/2022)**

<b>HEAD OF SERVICE &amp; DESIGNATION.</b>	<b>DIRECTORATE</b>	<b>TELEPHONE NO.</b>
<b>C Moore, Director of Corporate Services</b>	<b>Corporate Services</b>	<b>01267 224121</b>
<b>AUTHOR &amp; DESIGNATION</b>	<b>DIRECTORATE</b>	<b>TELEPHONE NO</b>
<b>R Hemingway, Head of Financial Services</b>	<b>Corporate Services</b>	<b>01267 224886</b>

**1. INTRODUCTION**

- 1.1. Cabinet in July 2021 received a report on the Revenue Budget Outlook for 2022/23 to 2024/25 which appraised Members of the financial outlook and the proposals for taking forward the budget preparation for the three year period.
- 1.2. This report provides Members with the current view of the Revenue Budget for 2022/23 together with indicative figures for the 2023/24 and 2024/25 financial years. The report is based on officers' projections of spending requirements and takes account of the provisional settlement issued by Welsh Government on 21<sup>st</sup> December 2021.
- 1.3. Whilst significant work has already been undertaken in preparing the budget, this represents an initial position statement which will be updated over the coming month as the budget is further developed, council members are engaged and public consultation takes place. The final settlement is due to be received from Welsh Government on 1<sup>st</sup> March 2022.
- 1.4. The report is broken down into six parts:
  - Funding Projections
  - Budget Requirement
  - Impact on the Authority's budget requirement
  - Consultation
  - Conclusion
  - Recommendations

## 2. PROVISIONAL SETTLEMENT

2.1. The provisional settlement was announced on Tuesday 21<sup>st</sup> December 2021. Provisional figures for individual Local Authorities were provided for 2022/23, with indicative figures for 2023/24 and 2024/25.

2.2. The Westminster Comprehensive Spending Review announced in November 2021 included a significant Barnett consequential, reported at £1.6 billion, though analysis from Cardiff University indicates that year on year Welsh Government's budget still drops by over £1 billion due to the cessation of one off Covid-19 funding. There were also the following announcements which have a material impact on our budget considerations:

2.2.1. A cessation of the pay freeze proposed by the Chancellor a year earlier.

2.2.2. A national living wage of £9.50, an increase of 6.6% on the current £8.91, which is a significantly bigger increase than previous years.

2.3. The main points of the Provisional Settlement 2022/23 on an all Wales basis are as follows:

2.3.1. Local government revenue funding for 2022/23 set at £5.108 billion, an increase of 9.8% (£456 million) compared to 2021/22, before adjustments. On a like for like basis after adjustments of £19 million, the increase is 9.4% on an all Wales basis.

2.3.2. Our analysis of this is as follows:

The settlement is said to include £36 million (all Wales) funding for Local Authorities to meet the cost of Welsh Government's policy to pay social care workers a living wage, however this funding is neither clearly identifiable

nor is it shown as a transfer into the settlement which would normally be expected.

The settlement includes the part year effect of the September 2021 Teachers pay award, however this figure does not show as a transfer in, unlike previous years.

£5million (10%) of the All Wales Social Care Workforce grant has been transferred in, however there are no details explaining this treatment.

2.3.3. As with last year, there is no funding floor. Individual settlements range from +11.2% (Monmouthshire) to +8.4% (Blaenau Gwent).

## 2.4. The Settlement figures for Carmarthenshire are:

2.4.1. After adjustments for WG identified transfers, the increase in the provisional settlement is 9.2% (£26.335 million). The Aggregate External Finance (AEF) therefore increases to £311.957 million in 2022/23. This includes £302k in respect of Social Care Workforce grant.

This settlement is significantly above our original assumption of +2.0%, **however there is significant risk to our funding position as the minister explicitly requires Local Authorities to accommodate the risks of future pay awards, inflationary pressures and ongoing Covid-19 related costs and continuing income reduction.** The scale of these uncertainties is genuinely unprecedented, as discussed in detail later in this report.

We have adjusted our MTFP assumptions for 2023 and beyond in line with WG guidance and increased the assumed level of future inflation. Our proposed savings total £11.7 million over the three year MTFP period.

2.5. Details of the Welsh Government Service Specific Grants were provided alongside the provisional settlement on 21 December 2021 at an all Wales level. It is notable that many remain at broadly at similar level (cash value level) to previous years, which will in reality reduce outputs given the impact of pay awards and general inflation. There are however some important exceptions:

- WG funding to support schools catchup/ recovery activities from the ongoing impacts of COVID-19 on learners has been continued. The Recruit Recover Retain Standards (RRRS) Grant has been set at

£37.5 million All Wales, which is expected to provide in excess of £2 million for Carmarthenshire’s Schools.

- The Additional Learning Needs grant, introduced two years ago, has doubled from £7 million to £14 million across Wales. This recognises the cost of implementing new legislation and is estimated to contribute c. £400k to Carmarthenshire.

As with last year, there are a number of grant changes referred to in the text to the main WG budget narrative which are not reflected in the Local Government provisional grant tables, which it is assumed are due to be updated for the final settlement.

### 3. BUDGET REQUIREMENT 2021/22

#### 3.1. Current Years performance (2021/22)

3.1.1. As the Authority’s core spending requirements remains constant year on year, a review of current year’s performance is important in identifying whether there are any underlying problems within the base budget

3.1.2. The current projection for the Revenue Outturn for 2021/22 (based on the October 2021 monitoring) is as follows

Service	Approved Budget £'000	Total Expenditure Forecast £'000	Variance Forecast For Year £'000
Chief Executive	16,740	16,192	-548
Communities	108,104	108,273	169
Corporate Services	29,556	28,664	-892
Education and Children's Services	179,660	179,660	0
Environment	61,390	60,936	-454
<b>Departmental Expenditure</b>	<b>395,451</b>	<b>393,725</b>	<b>-1,726</b>
Cont from Dept/Earmarked Reserves			0
Capital Charges	-20,155	-20,655	-500
Levies and Contributions	10,889	10,889	0
Transfer to/ from Reserves	0	946	946
<b>Net Expenditure</b>	<b>386,185</b>	<b>384,906</b>	<b>-1,279</b>

The main reasons for the departmental variances are as follows:

- o Chief Executive’s Department: shortfall in income generation from Commercial properties, offset by underspends across staffing budgets

- Education and Children's Services: the department's core budget is currently forecasting to break even for the year, however schools working budgets are forecasting to utilise £4.7m of their reserves in the current year.
- Communities Department: underspends in Older Peoples budgets offset by overspends in Learning Disabilities division. Without the support of the Covid Hardship Fund, the overspend would be significantly higher.
- Corporate Services: Underspends on pre Local Government Reorganisation pension costs, Rent Allowances, and Housing Benefit Administration, partially offset by a forecast increase in demand for Council Tax Reduction Scheme.
- Environment Department: Above target income on Property Maintenance and Planning service underspends, partially offset by increased demand and supplier costs in school transport

At this point the Authority is currently forecasting a variance of £1.3 million. It is proposed that £500k from the forecast underspend is set aside for decarbonisation. Whilst the Welsh Government capital settlement provides additional funding for decarbonisation, this does not commence until 2023/24. Our action would allow us to accelerate our response to the climate emergency. This will be provided as funding into the Capital Programme.

### 3.2. Validation

- 3.2.1. Validation reflects the changes in expenditure requirements to deliver the **current level** of services in future years. Primarily this is inflation, but also includes some service specific changes. Some areas of inflation are currently at rates that have not been

seen in recent years and present risks to our budget. The key validation factors are as follows:

	<u>2022/23</u> <u>Original</u>	<u>2022/23</u> <u>Proposed</u>	<u>2023/24</u>	<u>2024/25</u>
General inflation - Expenditure	2.5%	4.0%	3.0%	2.5%
General inflation - Fees & Charges	2.5%	2.5%	2.5%	2.5%
Electricity*	2.5%	20.0%	5.0%	5.0%
Gas*	2.5%	20.0%	5.0%	5.0%
Fuel	5.0%	5.0%	5.0%	5.0%
Pay Inflation - non teaching	2.50%	4.00%	2.50%	2.50%
Pay Inflation - Teaching	2.50%	4.00%	2.50%	2.50%
NI increase	0.00%	<b>1.25%</b>	0.00%	0.00%
Levies	2.9%	3.3%	2.5%	2.5%
Pension Contributions	nil	nil	nil	nil
Capital Charges	£500k	£500k	£500k	£500k

\* 2022/23 increase explicitly recognised in pressures due to extraordinary scale

3.2.2. Our previous planning assumptions include future annual pay awards of 2.50% for all staff. Since the budget outlook paper was considered in July 2021, the situation has evolved:

- Teachers Pay - the September 2021 Teachers pay award has been implemented at 1.75% (vs our assumption of 2.5%), but the Office for Budget Responsibility has forecast next year's pay award at 4% (UK)
- Employers have made a final offer of 1.75% for NJC staff for 2021/22, which Unions have rejected. This pay award, once agreed, will apply from April 2021

3.2.3. The Council's 2021/22 budget was set on the basis of a 2.5% award. Against this, the latest employers offer for the majority of NJC staff (the largest share of our payroll) was 1.75%, in line with the September 2021 teachers award. This provides some potential budget headroom. Our assumption next year is increased to allow for a 4% award from September 2022 for Teachers and April 2022 for NJC staff. Depending on the extent to which current inflation persists, even at this increased level, this could still be considered a real terms reduction.

3.2.4. In September 2021, the Prime Minister announced an increase of 2.5% to National Insurance, split equally between employee and employer, to provide increased funding for health and social care. We estimate the 1.25% increase in employer rates is worth c. £2.7 million to our budgets.

3.2.5. We have received confirmation from the fire authority that their indicative budget assumes a levy increase of 3.24%. As with last year, this is based on the explicit understanding that firefighters

pension cost increases continue to be met through direct grant award.

3.2.6. As a result of these factors, validation is at its highest level ever in recent years and adds over £16 million to the current year’s budget.

### 3.3. Cost Reduction Programme

In anticipation of the settlement challenges, significant work to review service efficiencies/rationalisation proposals has been undertaken. This continues to be exceptionally challenging as the pandemic - and our response to it - continues to have a significant ongoing impact upon service delivery.

3.3.1. The savings targets set for each financial year are as follows:

	2022/23 £m	2023/24 £m	2024/25 £m
Original targets (July Budget Outlook report)	5.209	5.333	5.024
Proposed Savings (following Provisional Settlement)	3.839	3.908	3.982

3.3.2. Accordingly, departments have developed a range of proposals, and these efficiencies are included in **Appendix A** of this report.

- The efficiency proposals are categorised as follows:  
 Managerial – Efficiencies that result in no perceivable change to the overall level of service delivery.  
 Policy – Efficiency or service rationalisation proposals that will directly affect service delivery.

	2022/23 £m	2023/24 £m	2024/25 £m
Managerial	3.654	3.358	3.240
Existing Policy	0.070	0.550	0.742
New Policy	0.115	Nil	Nil
<b>Total</b>	<b>3.839</b>	<b>3.908</b>	<b>3.982</b>

(Detail at **Appendix A**)

3.3.3. The summary sheet at Appendix A sets out the savings targets set for individual departments and the value of savings currently identified.

3.3.4. More work will need to be undertaken to further develop these efficiencies when the pandemic eases.

### 3.4. New Expenditure Pressures

3.4.1. New expenditure pressures are the combinations of additional cost to meet existing service needs e.g. increased client base/greater service take up and the costs of meeting change in service provision e.g. policy changes.

3.4.2. The original budget outlook report included £5.5 million per annum to meet growth pressures.

This year, an extraordinary level of initial growth bids were received from departments, exceeding £30 million. Based on an evaluation of the value and unavoidable nature of pressures submitted as well as additional funding identified through grants as explained in paragraph 2.5 above, core funding for specific pressures totalling £12.5 million have been funded (plus the NI increase of £2.7m reference in Para 3.2.4).

For this budget round, social care pressures in particular have been at an unprecedented level:

- Funding required for the National Living Wage increase is significantly increased, as the Chancellor's announcement of £9.50/hour was much higher than expected (the figure forecast by the Office of Budget Responsibility). The Welsh Government has raised this even further with the commitment to raise pay in the care sector above the foundation living wage – currently £9.90/hour. Even with baseline inflation set at 4%, this adds a further £3.9 million to inescapable pressures.

Last year's budget papers foresaw that to achieve increasingly challenging statutory Welsh Government recycling targets, changes to the waste collection methodology in the coming years would be required. This budget includes a sum of £1.3 million towards this, which will also contribute towards the decarbonisation agenda.

3.4.3 The minister's letter explicitly instructs Local Authorities to assess the future financial risk of COVID19 and provide for it from the improved settlement. Carmarthenshire's total hardship claims since the start of the pandemic exceeds £50 million and we are currently claiming between £2-3 million per month. With the current uncertainty surrounding the Omicron variant, making any reliable assessment is almost impossible, and providing ongoing funding is frankly impossible given the scale of pay pressures and inflation. Given these issues, this budget strategy increases our existing Contingency budget of £1million to £2 million and adds a separate fund to recompense income loss from services, which is highly likely to be drawn in full over the year. This provides total covid corporate contingency of £3



million. In addition, there remains a dedicated £500k social care contingency within the base budget of Communities department. Should these be insufficient, the Authority would need to critically assess its reserves and forward commitments, with the first call being the review of uncommitted future capital schemes.

In total, pressures funding adds £12.5 million to the budget. The detail is provided at **Appendix B**.

### **3.5. Schools Delegated Budgets**

3.5.1 Over recent years, our MTFP has provided in full for known pressures to school budgets including inflationary costs and pay awards. Whilst school balances increased significantly this year, this represented one off grant funding to support covid recovery and raising standards following the impact of COVID-19 on learners and the education system overall. Our current forecast is that nearly £5m of this will be drawn down this year. We have had recent indications from WG of additional funds, much of which is likely to be carried forward into next year. Whilst this will again enhance school balances this year, it is for specific activities, including repairs and maintenance, and is again only temporary in nature.

Against this backdrop, we have maintained the existing approach, including funding for pay award increases, inflation on non-pay budgets and the assumed extraordinary increase in energy prices.

Members should note that as outlined in paragraph 2.5 above, the RRRS grant (which was not expected to continue) and increased ALN grant, provides a further £2.4 million. In total, Education and Children's Services budgets will see increased funding of c. £11 million.

### **3.6. Internal Funding**

3.6.1. Generally speaking whilst the use of reserves to support annual budgets should not be summarily discounted, it must be treated with caution. Funding on-going expenditure from such funds merely defers and compounds difficult financial problems to the following year. One-off items of expenditure within any budget proposal lend themselves better for such funding support.

3.6.2. In deliberating this point however, members must bear in mind any **inherent risks** that may be built into the budget strategy. These include:

- Uncertainty around the true economic impact of the new trading arrangements with Europe, which seem to evidently be impacting on commodity costs
- The pace of deployment and efficacy of Covid-19 vaccine upon the need for continuing public health restrictions
- Future inflation/interest rates
- The timing and severity of fiscal or expenditure measures brought in by Westminster Government to balance public sector finances.
- Additional pressure on demand lead Services

In addition it should be noted that whilst, for the first time in a number of years, Welsh Government have been able to provide indicative core funding allocations for 2023/24 and 2024/25, they are only indicative at this point in time and will be subject to change.

3.6.3. The following table summarises the main categories of reserves held by the Authority.

	1 <sup>st</sup> Apr 2021 £'000	31 <sup>st</sup> Mch 2022 £'000	31 <sup>st</sup> Mch 2023 £'000	31 <sup>st</sup> Mch 2024 £'000
Schools Reserves	7,266	2,525	2,525	2,525
General Reserves	12,034	12,813	12,813	12,813
Earmarked Reserves	114,805	76,484	55,294	50,941

#### 3.6.4. School Reserves

- Schools have delegated responsibility for the management of their own finances. The level of reserves held by an individual school at any point in time will depend on a number of factors including the level of contingency fund that the school governing body considers appropriate, and the particular plans each school has for expenditure. Officers have yet to be informed of any transfers to/from these reserves by individual schools for future years.
- Legislation allows schools to carry forward reserves from one financial period to another. The School Funding (Wales) Regulations 2010 requires schools to limit their accumulated

reserves at year end to £50,000 for Primary Schools and £100,000 for Secondary and Special Schools or 5% of their budget dependent on what is greater. School Improvement officers are currently working with schools to ensure they comply with the guidance. As at 31<sup>st</sup> March 2021, 23 primary, 4 secondary and 1 special schools were in deficit.

### 3.6.5. General Reserves

- In the changeable and challenging environment currently facing Local Government the Authority is committed to maintaining a reasonable level of General reserves or Balances. Whilst there is no prescribed minimum level for Balances, Council has previously deemed 3% of net expenditure as being a prudent level, which has been accepted by our Auditors as being reasonable
- The overall level of balances is taken into consideration each year when the annual budget is set and has on occasions been utilised to augment expenditure/reduce council tax. The 2021/22 budget was set on the basis of no transfers from the General Reserves. Based upon the October Budget monitoring (outlined in paragraph 3.1.2 above) there could be a small increase of £779k to General Reserves and a fall of £4.7 million on school balances at the end of the current financial year.
- Given the ongoing impact of the pandemic response on our budgets and the uncertainty of continued WG support into next year, it is deemed imprudent at this stage to assume any further support for future years budgets from the current General Reserves.

### 3.6.6. Earmarked Reserves

- The Authority holds earmarked reserves which have been set up to finance the delivery of specific projects, or in protecting the authority

against future liabilities or issues. The reserves can be summarised as follows:

Reserve	31 March 2021 £'000	31 March 2022 £'000	31 March 2023 £'000	31 March 2024 £'000
Insurance	12,906	13,658	14,908	15,658
Capital Funds	51,944	19,348	12,440	13,867
Development Fund (inc. Schools Dev Fund)	940	1,075	2,195	2,249
Corporate Retirement Fund	5,276	4,276	3,276	2,276
Joint Ventures	1,427	1,359	1,325	1,276
Other	42,313	36,769	21,151	15,616
<b>TOTAL</b>	<b>114,805</b>	<b>76,484</b>	<b>55,294</b>	<b>50,941</b>

- As can be seen from the table above the level of earmarked reserves fluctuates greatly year on year, and whilst the level in each fund is not an exact science it is based on an informed estimate and past experience of the likely call on the authority in future years in line with the intended purpose of each reserve. Great care must therefore be taken when considering utilising such funds for purposes other than those which they were created as this could lead to the authority being faced with substantial unfunded liabilities in the future
- The budget proposals therefore assume nil contribution from reserves in support of the revenue budget in 2022/23 and a further analysis of the reserves held will be undertaken over the coming months with any further proposed utilisation being considered at the budget finalisation stage.
- Taking account of the proposals within this report, the Director of Corporate Services confirms that overall the estimated level of financial reserves (as indicated above) is adequate for the financial year 2022/23, with the General Reserves being at the appropriate level in line with guidelines and good practice, but is also very conscious of the significant risks of this Budget Strategy and the ongoing Pandemic.
- The Director is also very conscious of the ongoing commitment to capital projects and of

the demand on future services and therefore feels the reserves will need to be monitored closely going forward.

#### 4. IMPACT ON THE AUTHORITY'S BUDGET STRATEGY

The table below provides an updated position on the current financial outlook taking account of the provisional settlement and also other recent validation changes.

4.1. The Current Financial Outlook (updated for the Provisional Settlement) is set out in the table below:

	Current MTFP		Proposed Financial Model		
	2022/23 £'000	2023/24 £'000	2022/23 £'000	2023/24 £'000	2024/25 £'000
<b>Previous Year's Budget</b>	386,185	396,609	386,185	417,799	432,744
General Inflation	2,278	2,730	6,423	5,314	3,266
Pay Inflation	6,287	6,271	9,804	6,212	6,307
Transfers in & other*	1,568	1,642	5,923	1,827	1,298
Growth	5,500	5,500	12,544	5,500	5,500
Savings proposals	-4,644	-4,093	-3,839	-3,908	-3,982
Further savings to be identified	-565	-1,240	nil	nil	nil
Funding unallocated	nil	nil	757	nil	nil
<b>Net Expenditure</b>	<b>396,609</b>	<b>407,419</b>	<b>417,799</b>	<b>432,744</b>	<b>445,133</b>
Funded by:					
Revenue Settlement	290,517	296,327	311,597	322,503	330,243
Council Tax Receipts	106,092	111,092	106,202	110,241	114,890
<b>Council Tax Increase:</b>	<b>4.35%</b>	<b>4.40%</b>	<b>4.39%</b>	<b>3.42%</b>	<b>3.84%</b>

\*includes funding allocation to Covid Contingency (paragraph 3.4.3)

4.2. The total of budget reductions now required for 2022/23 is £3.8m and for the 3 year period are estimated at £12m.

4.3. The 2022/23 draft budget currently includes a contingencies totalling £3.5m in respect of additional expenditure and income loss due to COVID19. The level of risk or uncertainty will continue to be assessed

should there be either additions required or reductions possible as part of the final budget setting and will then be continually monitored during the year.

- 4.4.** The 2022/23 budget contains £757k which is as yet unallocated, which will allow members scope to consider additional information forthcoming in respect of:

- 4.4.1. Responses to the consultation process
- 4.4.2. Clarification of specific grants
- 4.4.3. Further growth pressures not currently addressed
- 4.4.4. Changes in the assessed implications of the Pandemic
- 4.4.5. Changes arising from the final settlement

## **5. CONSULTATION**

Budget consultation has been planned for the coming month and a summary of the individual approaches are as follows:

- 5.1.** Members seminars. (17-21 January 2022)
- 5.2.** The consultation process will commence from 17 January 2022.
- 5.3.** Town & Community Councils and commercial ratepayers consultation in January 2022.
- 5.4.** Consultation with Scrutiny Committees during January & February 2022.
- 5.5.** Consultation with the Schools Budget Forum on 24 January 2022.
- 5.6.** Trade Union Consultation meeting on 26 January 2022

## **6. WELLBEING OF FUTURE GENERATIONS (WALES) ACT 2015**

- 6.1.** In considering the budget proposals, members need to take into consideration the requirements of the Wellbeing of Future Generations (Wales) Act 2015. The Act requires that we must carry out sustainable development, improving the economic, social environmental and cultural well-being of Wales.

‘... 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’

- 6.2.** In doing so, we must demonstrate the following 5 ways of working:
- Looking at the long-term so that we do not compromise the ability of future generations to meet their own needs

- Understanding the root causes of the issues to prevent them recurring
- Taking an integrated approach so that we look at all well-being goals and objectives of other services and partners
- Collaboration – Working with others in a collaborative way to find shared sustainable solutions
- Involving a diversity of population in decisions that affect them

**6.3.** Carmarthenshire's Well Being objectives were updated in April 2021:

**Start Well**

1. Help to give every child the best start in life and improve their early life experiences
2. Help children live healthy lifestyles

**Live Well**

3. Support and improve progress, achievement, and outcomes for all learners
4. Tackle poverty by doing all we can to prevent it, help people into work and improve the lives of those living in poverty
5. Create more jobs and growth throughout the county
6. Increase the availability of rented and affordable homes
7. Help people live healthy lives (tackling risky behaviour and obesity)
8. Support community cohesion, resilience and safety

**Age Well**

9. Support older people to age well and maintain dignity and independence in their later years

**In a Healthy and Safe & Prosperous Environment**

10. Look after the environment now and for the future
11. Improve the highway and transport infrastructure and connectivity
12. Promote Welsh Language and Culture

**Corporate governance**

13. Better Governance and use of Resources

## **7. CONCLUSION**

- 7.1.** Currently the budget proposals assume the full delivery of all of the savings proposals submitted.
- 7.2.** Work needs to be undertaken to further develop the cost reductions for years 2023/24 and 2024/25 to be able to maintain the current Budget Strategy and level of council tax. Departments will be working over the forthcoming year to refine these savings.
- 7.3.** It is recognised the critical importance of minimising the Council Tax increase for our residents whilst maintaining a balanced budget in these unprecedented and challenging times.
- 7.4.** Given the current risks around this Budget Strategy and the ongoing significant impact of the pandemic. Council Tax increases have been maintained at the previous MTFP level of 4.4% for next year, with the savings identified in years 2 and 3 leading to indicative Council Tax increases of 3.4% and 3.8% respectively. This provides at least some mitigation to the savings proposals which the council needs to consider over future years of the Medium Term Financial Plan.
- 7.5.** Over the coming weeks and part of the refining of the Medium Term Financial Plan where the Authority gets further clarification on costs and grant funding and feedback on the consultation, the Authority will aim to limit the Council Tax increase as far as possible.

## **8. RECOMMENDATION**

- 8.1.** That Cabinet:
  - 8.1.1.** Note the contents of the report and approve the three year Budget Strategy as a basis for consultation. Specifically seeking comments from consultees on the efficiency proposals in Appendix A.
  - 8.1.2.** Note the unallocated sum of £757k in the current strategy, which will be given further consideration at the completion of the consultation as noted in paragraph 4.4.
  - 8.1.3.** Approve the proposal to allocate £500k from forecast current year underspends to accelerate our Decarbonisation plans in the forthcoming year.



## POLICY &amp; RESOURCES SCRUTINY COMMITTEE

2nd February 2022

Efficiency Summary

	ORIGINAL SAVINGS TARGETS			
	2022/23	2023/24	2024/25	Total
	£'000	£'000	£'001	£'000
Chief Executive	432	443	417	1,292
Education & Children	904	925	872	2,701
Schools Delegated	-	-	-	0
Corporate Services	180	184	174	538
Communities	2,471	2,530	2,383	7,384
Environment	1,222	1,251	1,178	3,651
	<b>5,209</b>	<b>5,333</b>	<b>5,024</b>	<b>15,566</b>

Proposals																
	MANAGERIAL				EXISTING POLICY PROPOSALS				NEW POLICY PROPOSALS				TOTAL PROPOSALS			
	2022/23	2023/24	2024/25	Total	2022/23	2023/24	2024/25	Total	2022/23	2023/24	2024/25	Total	2022/23	2023/24	2024/25	Total
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000
Chief Executive	399	282	269	950	0	0	0	0	0	0	0	0	399	282	269	950
Education	538	405	140	1,083	50	250	252	552	115	0	0	115	703	655	392	1,750
Schools Delegated	0	0	0	0	0	270	480	750	0	0	0	0	0	270	480	750
Corporate Services	180	180	75	435	0	0	0	0	0	0	0	0	180	180	75	435
Communities	1,703	2,232	1,980	5,914	0	0	0	0	0	0	0	0	1,703	2,232	1,980	5,914
Environment	834	259	776	1,869	20	30	10	60	0	0	0	0	854	289	786	1,929
	<b>3,654</b>	<b>3,358</b>	<b>3,240</b>	<b>10,251</b>	<b>70</b>	<b>550</b>	<b>742</b>	<b>1,362</b>	<b>115</b>	<b>0</b>	<b>0</b>	<b>115</b>	<b>3,839</b>	<b>3,908</b>	<b>3,982</b>	<b>11,728</b>

	SHORTFALL VS ORIGINAL TARGETS			
	2022/23	2023/24	2024/25	Total
	£'000	£'000	£'000	£'000
Chief Executive	33	161	148	342
Education & Children	201	270	480	951
Schools Delegated	0	-270	-480	-750
Corporate Services	-0	4	99	103
Communities	768	299	403	1,470
Environment	368	962	392	1,722
	<b>1,371</b>	<b>1,426</b>	<b>1,042</b>	<b>3,838</b>

DEPARTMENT	2021/22 Budget	FACT FILE	2022/23 Proposed	2023/24 Proposed	2024/25 Proposed	Total	EFFICIENCY DESCRIPTION
	£'000		£'000	£'000	£'000	£'000	
<b>Chief Executive</b>							
Chief Executive, Business and Executive Support	237	Office of the Chief Executive, business and executive support	20	20	19	59	£20k for <u>22/23</u> Reduction in supplies, eg. photocopying / postages / vehicle hire & others. <u>23/24</u> and <u>24/25</u> can only be met by reducing the staffing structure within the service
Information Technology	4,088	ICT Services underpins and contributes towards all that the Council delivers both internally as an organisation and externally to service users and communities, independently or in partnership. It is a vital function providing innovative opportunities for improving services and achieving our priorities in an efficient and effective way. IT Services is pivotal as an enabler of change and a vehicle for driving forward transformational improvement to all services. As we continually strive to deliver our solutions in an efficient manner and in line with our key Digital Strategies (Digital Transformation Strategy, Digital Technology Strategy, Digital Schools Strategy) our major savings in future years however will have to be found from our staffing budget. The work the service does significantly contribute to financial savings being delivered from revenue budgets held across the Authority by other service areas.	115	118	111	344	<u>2022/23</u> will be met by reduction in travel and stationery (£20k) along with staff redundancies via an EVR process (£95k). <u>2023/24</u> (£118k) and <u>2024/25</u> (£111k) can only be delivered by a reduction in the workforce. This will have a significant impact on our ability to delivery the key priorities of our Digital Transformation, Digital Technology and Digital Schools Strategy. Any posts lost from Corporate Policy will impact on our ability to lead and drive forward key corporate Initiatives. We would re-run the EVR request as a means to facilitate the delivery of this efficiency if no posts have become vacant in due course.
Statutory services / Coroners	372	The Coroner is an independent Judicial Officer and discharges his duties in accordance with the Coroners Act 1988. He has a duty to investigate deaths reported to him where he has reasonable cause to suspect that the death was violent, unnatural or of unknown cause or which occurs in prison.	18	0	0	18	Although efficiencies can be identified in the Coroner budget, the following must be highlighted: JNC for Coroners' pay has been agreed - 1.5% pay rise for 2021/22 with effect from 1st April 2021. Current budget can cover this. 2021-22 and 2022-23 will see one jury inquest with costs of approx £100k. Current review of amalgamation of the jurisdiction of Pembrokeshire/Carmarthenshire with Swansea/Neath Port Talbot is being picked up again post COVID, unknown at present whether this will cost more to Carmarthenshire or less.
Member Travel & Printing			27	0	0	27	Reduction in Travel & Printing following implementing of paperless meetings and Hybrid Meetings
People Management division	2,767	Includes Payroll, People Services, Organisational Development, Employee Wellbeing , HR Development Team, Business and Project Support	67	68	65	200	Focus is going to be on delivering the targets based on the realignment of OD, together with some additional income generation right across the division, this proving to be difficult as only have the staffing budgets to yield the efficiencies, and that is becoming more difficult as each year passes.
Regeneration division	3,542	Regeneration is a key priority for the council. The Division provides Business, employability, grant funding and skills support and advice. We also deliver physical regeneration projects throughout the county, including the Swansea Bay City Deal Pentre Awel Life Science and Wellness Village planned for Delta Lakes. The Regeneration Division is responsible for the management of land assets (those within the economic/commercial portfolio) of the Council, taking a strategic commercial view to ensure the portfolio is managed to meet the Council's economic development needs. The Division is also responsible for the delivery of the Council's Net Zero Carbon agenda.	70	30	30	130	<u>2022/23 Total £70k</u> , £20k - Anticipated increase in Income/reduction in operating costs on Administrative estate through New Ways of Working. £25k anticipated decrease in utility costs on administrative estate due to reduced occupancy through continued agile working. £10k reduction in community grants. £15k supplies within industrial estate budget. <u>2023/24 £30k</u> additional rental income from Swansea University Parc Dewi Sant. <u>2024/25 £30k</u> anticipated increase in income / reduction in operating costs on admin estate through new ways of working
Marketing & Media	1,914	Business Unit comprising of translation, marketing and tourism, contact centres, customer services, press and communications.	45	46	44	135	<u>2022/23 £45k in total</u> £20k reduction in event support scheme, we will look at better ways of helping communities develop their events through advice and promotion. £5k reduction in Tourist Information Centre costs as we hand back Castle House and relocate to the Hwb/Debenhams. £20k tourism marketing - reduction in printing and advertising. <u>2023/24 £46k</u> we would be looking at finding a large percentage of this within the translation service and in generating an income for services such as design, advertising and translation. <u>2024/25 £44k</u> - this can only be met by reducing staffing costs, this undoubtedly will have an impact on the work that we as a team deliver for the Council.
Departmental travel as per Transformation Innovation Change team exercise		Cross departmental travel costs	17	0	0	17	£17k reduction in departmental travel budgets
Departmental printing as per Transformation Innovation Change team exercise		Cross departmental printing costs	20	0	0	20	£20k reduction in departmental printing budgets
<b>Chief Executive Total</b>			<b>399</b>	<b>282</b>	<b>269</b>	<b>950</b>	

DEPARTMENT	2021/22 Budget	FACT FILE	2022/23 Proposed	2023/24 Proposed	2024/25 Proposed	Total	EFFICIENCY DESCRIPTION
	£'000		£'000	£'000	£'000	£'000	

### Corporate Services

#### Financial Services

PRE LGR Pension Costs	1,860	Cost of Pre LGR Pension Costs	100	100	50	250	Reduction in call on budget over time
Bank Charges	68	Cost of Authority's Banking arrangements	5	5	0	10	Reduction in bank charges following negotiation of new contract
Treasury & Pensions Section	70,287	Provision of a Treasury Management and Pension Fund Investments Service including statistical and legislative research and development work. The unit manages the strategic direction, formulates and implements Policy and Strategy and ensures the integrity of the Dyfed Pension Fund. The unit also manages the Dyfed Welsh Church Fund and Banking Services	0	15		15	Increase in external SLA income for work undertaken for Wales Pension Partnership
Corporate Services Management Team	360	Departmental costs of Director, Head of Finance & Direct Support	10	0	0	10	Increase in external SLA income for work undertaken for Wales Pension Partnership
Accountancy	1,281	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) • Strategic Finance functions (projects, planning and financial advice to members)	0	0	25	25	Increase in external SLA income for work undertaken for Llesiant Delta Wellbeing
External Audit Fees	229	Cost of external audit fees	10	10	0	20	Reduction in external audit cost by maximising audit costs chargeable against grant schemes
<b>Total Financial Services</b>			<b>125</b>	<b>130</b>	<b>75</b>	<b>330</b>	

#### Revenues & Financial Compliance

Rates Relief	328	Cost to CCC of properties that are eligible and have successfully applied for discounts on their business rates	50	50	0	100	Demand is currently less than current budget provision
<b>Total, Revenues and Financial Compliance</b>			<b>50</b>	<b>50</b>	<b>0</b>	<b>100</b>	

#### Corporate Services General

General	12	Staff Travel	5	0	0	5	Reduction in staff travel by utilising technology
<b>Total Corporate Services General</b>			<b>5</b>	<b>0</b>	<b>0</b>	<b>5</b>	

<b>Corporate Services Total</b>			<b>180</b>	<b>180</b>	<b>75</b>	<b>435</b>	
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Mae'r dudalen hon yn wag yn fwriadol

## Demographic, Legislative or continuing pressures

APPENDIX A(ii)

	Description	2022/23 £'000
IT Hardware replacement scheme	Balance of Laptop Replacement scheme funded in previous year (increased requirement)	56
Election 2022	To provide sufficient funding for 2022 County Council elections	100
Recruitment of childcare paralegal	Increased requirement for legal support - increased caseload as well as increased complexity	30
Senior Property Lawyer	To provide recurrent funding for existing post which has been reserve funded	81
Loss of income - provisions markets	Sustained reduction in the level of rents achievable in provisions markets	60
Increase in Member allowances	Net budget increase required to meet recommendations of Independent Remuneration Panel for Wales (IRPW) which is a legislative requirement	200
Increase in Trade Unions facilities time	Funding to provide for increase in TU facility time	50
<b>Total for the Chief Executives Department</b>		<b>577</b>
Corporate Joint Committees	Forecast budget requirement which will be levied on Carmarthenshire from new CJC	200
Energy (corporate)	Significant increase notified by Crown Commercial Services of up to 40% price increase on energy component of gas and electricity bills	1,000
<b>TOTAL FOR POLICY &amp; RESOURCES</b>		<b>1,777</b>

Mae'r dudalen hon yn wag yn fwiadol

**Policy & Resources Scrutiny Report**  
**Budget Monitoring as at 31st October 2021 - Detail Monitoring**

Division	Working Budget				Forecasted				Oct 2021 Forecasted Variance for Year £'000	Notes
	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000		
<b>Chief Executive</b>										
Chief Executive-Chief Officer	237	0	-260	-24	206	0	-260	-54	-30	Savings on supplies & services
Chief Executive Business Support Unit	610	0	-585	25	461	-2	-585	-126	-151	3 vacant posts not anticipating filling this financial year & a staff member on maternity leave, £31k savings on supplies & services
<b>Chief Executive Total</b>	<b>846</b>	<b>0</b>	<b>-845</b>	<b>2</b>	<b>667</b>	<b>-2</b>	<b>-845</b>	<b>-180</b>	<b>-181</b>	
<b>People Management</b>										
TIC Team	233	-60	-221	-47	247	-60	-221	-34	13	1 x employee regraded with no funding
Agile Working Project	0	0	0	0	64	-64	0	0	0	
SCWDP	675	-417	1	259	676	-417	1	259	-0	
Practice Placements	67	-67	0	-0	72	-72	0	-0	-0	
Health & Social Care Induction Training Pilot	0	0	0	0	95	-95	0	-0	-0	
Business & Projects Support	262	0	-275	-14	230	0	-275	-45	-32	Savings on supplies & services
Payroll	634	-357	-285	-8	628	-345	-285	-2	6	
People Services – HR	1,073	-268	-786	19	1,063	-252	-786	26	7	
Employee Well-being	775	-350	-423	2	789	-302	-423	64	62	Shortfall on budgeted external SLA income. Referrals have reduced from pre COVID19 levels.
Organisational Development	522	-39	-498	-15	522	-10	-498	14	29	Training efficiency target not currently being met.
Employee Services – HR/Payroll Support	134	0	-132	2	165	0	-132	34	32	£16k graduate not funded, 2 x employees regraded with no funding £9k. Additional £7k agency to cover additional work done for Police/ fire pension payments
School Staff Absence Scheme	0	0	0	0	243	-243	0	0	0	
DBS Checks	124	0	0	124	83	-2	0	81	-43	Review of DBS checks process & budget to be undertaken
<b>People Management Total</b>	<b>4,499</b>	<b>-1,558</b>	<b>-2,619</b>	<b>322</b>	<b>4,876</b>	<b>-1,861</b>	<b>-2,619</b>	<b>396</b>	<b>74</b>	
<b>ICT &amp; Corporate Policy</b>										
Information Technology	5,139	-899	-3,841	399	5,079	-839	-3,841	399	0	
Welsh Language	120	-11	-153	-44	113	-11	-153	-51	-7	
Chief Executive-Policy	687	-31	-786	-130	588	-23	-786	-221	-91	3 Vacant posts for most of the year whilst team review was being completed. Restructure now complete resulting in vacant posts going out to advert imminently.
Public Services Board	5	0	0	6	5	-0	0	6	-0	
Food Procurement Project	0	0	0	0	7	-7	0	0	0	
Armed Forces Covenant Scheme	0	0	0	0	85	-85	0	0	0	
Armed Forces and Remembrance	5	0	0	5	5	0	0	5	-1	
<b>Total ICT &amp; Corporate Policy</b>	<b>5,956</b>	<b>-940</b>	<b>-4,780</b>	<b>235</b>	<b>5,881</b>	<b>-964</b>	<b>-4,780</b>	<b>137</b>	<b>-99</b>	

**Policy & Resources Scrutiny Report**  
**Budget Monitoring as at 31st October 2021 - Detail Monitoring**

Division	Working Budget				Forecasted				Oct 2021 Forecasted Variance for Year £'000	Notes
	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000		
<b>Admin and Law</b>										
Democratic Services	1,886	-276	2,372	3,982	1,800	-318	2,372	3,854	-128	Underspend on Members pay £59k & travelling costs £43k, along with an additional £27k of income for work undertaken for the HRA
Democratic Services - Support	506	0	-494	12	454	-35	-494	-75	-87	Additional income for work undertaken for the Wales Pension Partnership (£21k), ERW (£7k) & PCC (£7k); Posts vacant for part of year, expecting to be filled from Jan. There are also savings on supplies & services.
Corporate Management	0	0	296	296	0	0	296	296	0	
Civic Ceremonial	24	0	21	45	24	0	21	45	-0	
Land Charges	136	-305	20	-150	91	-281	20	-170	-20	Savings on supplies & services
Police and Crime Commissioner	0	0	0	0	72	-72	0	0	0	
Legal Services	1,898	-267	-1,511	120	1,857	-259	-1,511	87	-33	2 vacant posts during the year. Expected to be filled imminently.
Central Mailing	45	0	1	45	28	-3	1	25	-20	Saving on franking machine leasing costs
<b>Admin and Law Total</b>	<b>4,495</b>	<b>-849</b>	<b>703</b>	<b>4,349</b>	<b>4,326</b>	<b>-968</b>	<b>703</b>	<b>4,061</b>	<b>-288</b>	
<b>Marketing &amp; Media</b>										
Marketing and Media	373	-167	-213	-7	503	-119	-213	171	178	Overspend on salaries pending divisional realignment. Loss of income streams from external partners (e.g. ERW £80k). Looking at alternative potential partnership arrangements
Translation	566	-52	-502	13	464	-52	-502	-89	-102	Vacant post pending divisional realignment & number of staff members working reduced hours, savings on supplies & services
Customer Services Centres	1,141	-353	-762	26	933	-350	-762	-179	-205	10 vacant posts during the year, six anticipated to be filled before year end. Difficulty in filling posts currently.
Yr Hwb, Rhydaman a Llanelli	191	-94	8	106	78	-53	8	34	-73	3 vacant posts pending divisional realignment offset partly by less income, due to decreased demand for desk rental space
Marketing Tourism Development	370	0	18	388	465	-95	18	388	0	
Visitor Information	61	-5	18	74	60	-5	18	74	-0	
Events	49	-26	2	25	48	-25	2	25	-0	
<b>Total Marketing &amp; Media</b>	<b>2,751</b>	<b>-696</b>	<b>-1,430</b>	<b>625</b>	<b>2,551</b>	<b>-698</b>	<b>-1,430</b>	<b>423</b>	<b>-201</b>	



**Policy & Resources Scrutiny Report**  
**Budget Monitoring as at 31st October 2021 - Detail Monitoring**

Division	Working Budget				Forecasted				Oct 2021 Forecasted Variance for Year £'000	Notes
	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000		
<b>Statutory Services</b>										
Elections-County Council	9	0	129	138	3	0	129	132	-6	
Elections-Community Council	0	0	0	0	10	-10	0	-0	-0	
Elections - Police and Crime Commissioner	0	0	0	0	289	-289	0	-0	-0	
Elections-Welsh Government	0	0	0	0	146	-146	0	0	0	
Registration Of Electors	170	-2	243	410	249	-94	243	398	-12	Savings on supplies & services
Registrars	441	-307	192	326	522	-419	192	295	-32	Additional income being generated compared to budget.
Coroners	372	0	8	380	357	0	8	365	-15	Following the appointment of medical examiners by the NHS, fewer cases are being referred to the Coroner leading to less direct and indirect costs. This is partly offset by additional costs as a result of a jury inquest during the year.
Electoral Services - Staff	294	0	-291	3	238	0	-291	-53	-56	2 Vacant posts pending divisional realignment
<b>Statutory Services Total</b>	<b>1,286</b>	<b>-310</b>	<b>281</b>	<b>1,258</b>	<b>1,814</b>	<b>-958</b>	<b>281</b>	<b>1,137</b>	<b>-121</b>	
<b>Regeneration &amp; Property</b>										
Regeneration Management	295	0	38	333	293	0	38	331	-2	
Parry Thomas Centre	32	-32	11	11	33	-33	11	11	0	
Betws wind farm community fund	87	-87	1	1	86	-87	1	1	-0	
Welfare Rights & Citizen's Advice	166	0	2	168	167	0	2	168	0	
Llanelli Coast Joint Venture	150	-150	5	5	150	-150	5	5	-0	
The Beacon	154	-141	50	64	175	-161	50	64	0	
Business Grants	0	0	0	0	22	-22	0	0	0	
Support Programme	0	0	0	0	16	-16	0	0	0	
BREXIT	0	0	0	0	48	-48	0	0	0	
Econ Dev-Rural Carmarthen, Ammanford, Town Centres	389	0	7,988	8,377	389	0	7,988	8,377	0	
Econ Dev-Llanelli, C Hands, Coastal, Business, Inf & Ent	452	0	89	541	452	0	89	541	-0	
Community Development and External Funding	521	0	89	610	521	0	89	610	-0	
Coronavirus	0	0	0	0	6	-6	0	0	0	
Food Hubs & Banks - Covid 19	0	0	0	0	91	-91	0	0	0	
Kickstart DWP Employment Scheme	0	0	0	0	700	-699	0	0	0	
Cockle Harvesters	0	0	0	0	70	-70	0	0	0	
Wenness	25	0	19	44	25	0	19	44	0	
City Deal	0	0	24	24	0	0	24	24	0	
Property	1,156	-88	-1,251	-183	1,041	-8	-1,251	-218	-35	Vacant posts due to be filled imminently, this partially offsets a shortfall in external income generated.
Commercial Properties	33	-594	537	-25	66	-494	537	109	133	General loss of income due to properties becoming vacant & no immediate prospect of re-letting

**Policy & Resources Scrutiny Report**  
**Budget Monitoring as at 31st October 2021 - Detail Monitoring**

Division	Working Budget				Forecasted				Oct 2021 Forecasted Variance for Year £'000	Notes
	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000		
Provision Markets	596	-660	373	309	566	-515	373	424	115	General downturn in demand for stalls & consequent reduction in achievable rents. Partially offset by COVID19 income claim from WG for losses specifically attributable to COVID19.
Operational Depots	337	0	-324	13	342	-0	-324	19	5	
Administrative Buildings	3,324	-777	-3,129	-582	3,162	-691	-3,129	-658	-76	Additional essential maintenance planned during the year. Offset by savings on utilities, as staff continue to work from home
Industrial Premises	485	-1,482	899	-98	358	-1,422	899	-165	-67	Occupancy levels are still high despite the pandemic
County Farms	76	-342	425	158	73	-315	425	183	24	Market forces dictate rent/ lease achievable.
Livestock Markets	61	-213	3	-149	57	-38	3	22	171	Majority of overspend relates to Nant Y Ci. No rental income for 24 months for Nant Y Ci as per the terms of the new agreement. Additional premises maintenance costs to obtain animal health and farm assurance licences.
Externally Funded Schemes	5,631	-5,628	323	326	3,365	-3,361	323	326	-0	
<b>Regeneration &amp; Property Total</b>	<b>13,970</b>	<b>-10,193</b>	<b>6,173</b>	<b>9,950</b>	<b>12,273</b>	<b>-8,227</b>	<b>6,173</b>	<b>10,218</b>	<b>268</b>	
<b>Financial Services</b>										
Corporate Services Management Team	489	-129	-422	-62	531	-169	-422	-59	2	
Accountancy	1,748	-467	-1,253	28	1,736	-465	-1,253	18	-10	£34k part year net vacancies, due to be filled during the year, offset by overspends on consultant, software and subscriptions, £34k part year vacancies, due to be filled during the year. £20k external SLA income from the WPP and other smaller underspends
Treasury and Pension Investment Section	265	-195	-70	0	228	-212	-70	-54	-54	
Grants and Technical	343	-111	-218	14	296	-56	-218	22	8	
Payroll Control	91	0	-88	3	94	0	-88	6	3	
Payments	557	-77	-457	23	500	-74	-457	-32	-55	£36k part year vacancies, due to be filled during the year. £19k savings on supplies and services
Pensions	1,378	-1,314	-58	6	1,297	-1,233	-58	6	-0	
Audit Fees	322	-93	4	233	281	-93	4	192	-42	A proportion of audit fees are chargeable directly to grants
Bank Charges	68	0	1	69	58	0	1	59	-11	Charges reduced since introduction of new contract
Wales Pension Partnership	84	-84	0	0	65	-65	0	0	0	
Miscellaneous Services	8,230	-122	1,705	9,813	7,812	-63	1,705	9,453	-359	£346k underspend on pre LGR pension costs, £13k underspend on Treasury Management costs
<b>Financial Services Total</b>	<b>13,576</b>	<b>-2,592</b>	<b>-856</b>	<b>10,128</b>	<b>12,898</b>	<b>-2,430</b>	<b>-856</b>	<b>9,611</b>	<b>-517</b>	

**Policy & Resources Scrutiny Report**  
**Budget Monitoring as at 31st October 2021 - Detail Monitoring**

Division	Working Budget				Forecasted				Oct 2021 Forecasted Variance for Year £'000	Notes
	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000		
<b>Revenues &amp; Financial Compliance</b>										
Procurement	611	-35	-551	26	533	-35	-551	-53	-79	£79k part year vacancies, due to be filled during the year.
Audit	487	-19	-463	5	432	-35	-463	-66	-70	£34k part year vacancies, £21k saving on supplies and services along with £15k additional income over budget from SLA income
Risk Management	152	-0	-149	2	155	-0	-149	6	4	
Business Support Unit	142	0	-81	61	108	0	-81	27	-34	£29k part year vacancy, due to be filled during the year along with £5k savings on supplies and services
Corporate Services Training	60	0	-59	1	35	0	-59	-25	-25	Low uptake of training courses during year
Local Taxation	945	-763	528	709	957	-776	528	709	0	
Council Tax Reduction Scheme	16,828	0	78	16,906	17,400	0	78	17,478	572	Increased demand since COVID19. WG contribution received for the shortfall in 2020/21, but no confirmation to date whether that will be replicated in 2021/22
Rent Allowances	41,323	-41,540	1,495	1,278	40,961	-41,472	1,495	985	-294	Predicted underspend based on anticipated payments due, anticipated reimbursement from DWP and recovery of overpayments.
Rates Relief	328	0	5	333	195	0	5	200	-133	Low take-up anticipated in 2021/22
Housing Benefits Admin	1,684	-752	-877	55	1,279	-663	-877	-261	-316	A number of posts have been vacant during the year to date. Some of these will now not be filled until the new financial year. A large number of staff members are also currently on lower points of the salary scale but budgeted at the top of scale. This amounts to a saving of £403k. A £15k saving on supplies and services costs is also anticipated. This is offset by the ongoing annual reduction in admin grant received from DWP.
Revenues	943	-136	-755	52	940	-132	-755	52	0	
<b>Revenues &amp; Financial Compliance Total</b>	<b>63,504</b>	<b>-43,246</b>	<b>-830</b>	<b>19,428</b>	<b>62,996</b>	<b>-43,113</b>	<b>-830</b>	<b>19,053</b>	<b>-375</b>	
<b>TOTAL FOR POLICY &amp; RESOURCES</b>	<b>110,882</b>	<b>-60,383</b>	<b>-4,203</b>	<b>46,296</b>	<b>108,281</b>	<b>-59,222</b>	<b>-4,203</b>	<b>44,856</b>	<b>-1,440</b>	

Mae'r dudalen hon yn wag yn fwiadol

APPENDIX C

**CHARGING DIGEST - Chief Executives**

2020/21 Actual £	2021/22 Budget £	2022/23 Budget £	Business Unit	Service Provided	2021/22 Charge Levied £	2022/23 Proposed Charge £	Comments
			<b>Admin and Law</b>				
214,271	305,421	311,529	<b>Land Charges</b>	Search Fees	130.80	130.80	No change to charges to take place during 2022/23
				Any additional enquiries (dependent on enquiry)	12.00	12.00	
				Any additional enquiries (dependent on enquiry)	24.00	24.00	
			<b>Regen, Policy and Property</b>				
			<b>Statutory Services</b>				
			<b>Electoral Services</b>				
				<b>Electoral Registration</b>			
3,312	2,450	2,511		Purchase of the Full/Open or list of overseas electors Register in printed format	10.00 + 5.00 per 1,000 entries (or part of 1,000 entries)	10.00 + 5.00 per 1,000 entries (or part of 1,000 entries)	Statutory fee
				Purchase the Full/Open or list of overseas electors Register in data format	20.00 + 1.50 each for 1,000 entries (or part of 1,000 entries)	20.00 + 1.50 each for 1,000 entries (or part of 1,000 entries)	Statutory fee
				Marked copy of the Register	10.00+2.00 per 1,000 names	10.00+2.00 per 1,000 names	Statutory fee
				Copies of election spending return and declaration	20p per side	20p per side	Statutory fee
			<b>Registrars</b>	<b>Marriage</b>			
263,682	307,051	313,192		Notice of Marriage per notice valid for 12 months	35.00	35.00	Statutory fee
				Superintendent Registrar & Registrar fee	150.00 - 585.00	155-600	Dependent on date and venue
				<b>Payable to registrar present at ceremony:</b>			
				In the Register office	46.00	46.00	Statutory fee
				In a registered building	86.00	86.00	Statutory fee
				<b>Conversion from Civil Partnership to marriage</b>	45.00	45.00	Statutory fee

APPENDIX C

**CHARGING DIGEST - Chief Executives**

2020/21 Actual £	2021/22 Budget £	2022/23 Budget £	Business Unit	Service Provided	2021/22 Charge Levied £	2022/23 Proposed Charge £	Comments
Tudalen 38				<b>Civil Partnership</b>			
				For the recording of each notice of civil partnership	35.00	35.00	Statutory fee
				For the attendance of the civil partnership registrar at the civil partnership registration	46.00	46.00	Statutory fee
				Superintendent Registrar & Registrar fee	150.00 - 585.00	155-600	Dependent on date and venue
				Site visit inspection of venue for statutory or non-statutory events	100.00	100.00	Rarely requested
				Registrar attendance at rehearsal	75.00	75.00	Rarely requested
				Registrar attendance at promotional event	35.00 per hour + travel	35.00 per hour + travel	2 registrars attendance
				<b>Certificates for special purposes :</b>			Factories Act, Education Act, Social Security (Administration) Act, Savings Banks Act
				General Search	18.00	18.00	Statutory fee
				Specific search in indexes	15.00	15.00	Per hour
				Admin proof of life verification	10.00	10.00	Foreign pension holders
				Custom postage request	10.00	10.00	Requires visit to post office
				<b>Civil Funeral</b>	200.00 plus travel expenses	200.00 plus travel expenses	Plan ceremony and officiate - crematorium, cemetery, chapel of rest - Weekdays only
				<b>Corrections - consideration by local Superintendent Registrar</b>	75.00	75.00	Statutory fee
				<b>Foreign divorce - consideration by local Superintendent Registrar</b>	50.00	50.00	Statutory fee
				<b>Space 17 Birth registration amendments (changing the baby's name after registration)</b>	40.00	40.00	Statutory fee
				<b>Triage of waiver request on behalf of the General Register Office</b>	20.00	20.00	Statutory fee
				<b>Triage of complex correction request on behalf of the General Register Office</b>	32.00	32.00	Statutory fee
				<b>Triage of foreign divorce consideration on behalf of the General Register Office</b>	28.00	28.00	Statutory fee
				<b>Memorial Service</b>	360.00	360.00	Plan ceremony and officiate - Parc Myrddin or chapel of rest - Sundays only

APPENDIX C

**CHARGING DIGEST - Chief Executives**

2020/21 Actual £	2021/22 Budget £	2022/23 Budget £	Business Unit	Service Provided	2021/22 Charge Levied £	2022/23 Proposed Charge £	Comments
				<b>Certificates: Birth, Death, Marriage, Civil Partnership</b> Full or extract Certificate applied for at the time of the registration Full or extract Certificate applied for at any other time Express Service for Certificates  <b>Non-Statutory Ceremonies</b> Register Office Licensed Venue  <b>Private Citizenship Ceremony</b>  <b>Licence for Venue for Marriages and Civil Partnerships</b> <b>Bespoke Ceremonies</b>	11.00 11.00 35.00  150.00 - 585.00 150.00 - 585.00  90.00 1,300.00 Price on application	11.00 11.00 35.00  155.00 - 600.00 155.00 - 600.00  90.00 1,340.00 Price on application	Statutory fee  Includes admin fee  Statutory fee  Dependent on date and venue Dependent on date and venue  Per adult, £25 per child  3 year licence - £2,215 for a 5 year licence Priced as stat ceremony but with additional charges for prelim site inspection/risk assessment and travel as appropriate.
			<b>Property &amp; Regeneration</b>	Lease or rental of corporate property			Dependent on market valuations at time of lease commencement or rent reviews. Not appropriate to rise with inflation as rent will vary with market conditions.

**APPENDIX C**

**CHARGING DIGEST - Corporate Services**

2020/21 Actual £	2021/22 Budget £	2022/23 Budget £	Business Unit	Service Provided	2021/22 Charge Levied £	2022/23 Proposed Charge £	Comments
104,684	371,096	371,096	<b>Revenue Services</b>	Costs imposed where Magistrates' Court recovery proceedings are instigated in respect of unpaid Council Tax or Non-Domestic (Business) Rates	62.00 (subject to in-year review - please see Comments)	62.00 (subject to in-year review - please see Comments)	As a result of a High Court case in 2015 local authorities are not in a position to simply periodically increase / vary costs e.g. in line with inflation. Instead a calculation of the (estimated) actual costs involved in taking action is necessary with any change then agreed with the Court. Based on the current operational cost of the work relating to recovery proceedings, the existing level of recovery costs (Summons £32, Liability Order £30, Total £62) is unlikely to change in the medium term. The proposed level of costs will therefore remain slightly below the upper limit invoked by Welsh Government.



**PWYLLGOR CRAFFU POLISI AC ADNODDAU  
2<sup>il</sup> CHWEFROR 2022**

**RHAGLEN GYFALAF PUM MLYNEDD - 2022/23 - 2026/27**

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

Fel rhan o'r ymgynghori ynghylch y gyllideb, gofynnir i'r aelodau gael golwg ar y rhaglen gyfalaf amgaeedig, ynghyd â'r strategaeth gyfalaf.

**Y RHESYMAU:**

Bod y Pwyllgor Craffu Polisi ac Adnoddau yn ystyreid cynnwys yr adnoddiaid hwn ac yn cyflwyno unrhyw argymhellion i'w hystyried gan y Gabinet.

Angen cyfeirio'r mater at y Gabinet er mwyn gwneud penderfyniad: Oes

YR AELOD O'R CABINET SY'N GYFRIFOL AM Y PORTFFOLIO: Cyng. David Jenkins

Y Gyfarwyddiaeth:

Enw Cyfarwyddwr y  
Gwasanaethau Corfforaethol:

Randal Hemingway

Awdur yr Adroddiad:  
Adrian Armstrong

Swydd:

Pennaeth Gwasanaethau  
Ariannol

Rhif ffôn: 01267 224886

Cyfeiriad E-bost:

[RHemingway@sirgar.gov.uk](mailto:RHemingway@sirgar.gov.uk)

[MAArmstrong@sirgar.gov.uk](mailto:MAArmstrong@sirgar.gov.uk)

**EXECUTIVE SUMMARY**  
**POLICY AND RESOURCES SCRUTINY COMMITTEE**  
**2<sup>nd</sup> FEBRUARY 2022**

**FIVE YEAR CAPITAL PROGRAMME (COUNCIL FUND) – 2022/23  
 TO 2026/27**

The report brings together the latest proposals for the five-year capital programme 2022/23 to 2026/27. It forms the basis of the budget consultation process with members and other relevant parties. Feedback from this consultation process, along with any updates, will inform the final Capital Programme budget report which will be presented to Cabinet on 21<sup>st</sup> February 2022 and County Council in March 2022.

The proposed gross expenditure on the capital programme for 2022/23 is £144.844m with the projected funding being £52.249m from the county council's own resources through the use of borrowing, reserves and general capital grant and, the balance of funding of £92.595m coming from external sources. These figures include projects delayed in 2021/22, mainly because of Covid-19 restrictions, that have been carried over and built into the budgets of future years.

The capital programme is projected to be fully funded over the five years.

It includes projected expenditure on the Swansea Bay City Region Deal projects against which the authority will borrow, with the funding being returned from both Welsh and UK governments over a 15-year period (from 2018/19).

**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:** **Randal Hemingway** **Head of Financial Services**

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

### 3. Finance

The updated capital programme is projected to be fully funded for the five years 2022/23 through to 2026/27, however, if any of the currently anticipated funding does not materialise it will need to be revisited. Short-term borrowing has been used in years 1 and 2 of the capital programme to facilitate the early development of some projects, this will be repaid in the later years of the programme when funding becomes available.

### 7. Physical Assets

New assets created from the capital programme will be added to the Council's portfolio. In addition, the programme proposes expenditure to improve the existing assets and comply with statutory responsibilities.

## CONSULTATIONS

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

Signed: **Randal Hemingway** **Head of Financial Services**

**1. Scrutiny Committee** Relevant Scrutiny Committees will be consulted.

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

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

**4. Relevant Partners** N/A

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

**CABINET PORTFOLIO HOLDER(S)  
AWARE/CONSULTED**

YES

**Include any observations here**

### 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
2021/22 – 2025/26 Capital Programme		Corporate Services Department, County Hall, Carmarthen.  On-line via corporate website – Minutes of County Council Meeting 3 <sup>rd</sup> March 2021.
2022/23 – 2026/27 Capital Programme		Corporate Services Department, County Hall, Carmarthen.

Mae'r dudalen hon yn wag yn fwriadol

# **REPORT OF DIRECTOR OF CORPORATE SERVICES**

## **Policy and Resources Scrutiny Committee**

**2<sup>nd</sup> FEBRUARY 2022**

### **FIVE-YEAR CAPITAL PROGRAMME – 2022/23, 2023/24, 2024/25, 2025/26 and 2026/27**

<b>DIRECTOR &amp; DESIGNATION</b>	<b>DIRECTORATE</b>	<b>TELEPHONE NO.</b>
<b>C Moore, Director of Corporate Services</b>	<b>Corporate Services</b>	<b>01267 224120</b>
<b>AUTHOR &amp; DESIGNATION</b>	<b>DIRECTORATE</b>	<b>TELEPHONE NO.</b>
<b>R Hemingway, Head of Financial Services</b>	<b>Corporate Services</b>	<b>01267 224886</b>

## **1 INTRODUCTION**

- 1.1. The report provides members with a view of the proposed five-year Capital Programme 2022/23, 2023/24, 2024/25, 2025/26 and 2026/27.
- 1.2. The Policy & Resources Scrutiny Committee are being consulted as part of the development of the programme. Feedback from this consultation process, along with the outcome of the final settlement, will inform the final budget report which will be presented to County Council in March 2022 for approval.
- 1.3. The authority is required to approve a rolling capital programme each year as part of its budget setting process. This facilitates forward planning and is consistent with the requirements of the Prudential Code in terms of financial planning and funding while assisting officers in bidding for external funding.

## **2. BACKGROUND**

- 2.1. Last year the authority agreed a fully funded five-year capital programme 2021/22 to 2025/26 which was approved at County Council on 3<sup>rd</sup> March 2021.
- 2.2. 2021 was another unprecedented year and saw us reprioritise our capital strategy and capital programme to reflect the desire to boost local businesses and local economies in response to the Covid-19 pandemic. This commitment remains our focus in the coming years and coupled with the UK Government's levelling up funding will see significant investments to boost the Carmarthenshire economy. Following a particularly disappointing capital provisional settlement from the Welsh Government, which reduced by over £1.8m unhypothecated capital funding, we will bring forward plans to increase borrowing to support our plans. The capital programme was revisited by the Strategic Assets Steering Group (SASG) and the Corporate Management

Team. Departments also submitted proposals for new and urgent projects for the programme. Projects have been assessed and prioritised with only the highest priorities being included in the programme.

- 2.3. The proposed capital programme is attached in Appendix A and shows the anticipated expenditure and sources of funding over the five year period.
- 2.4. The proposed Capital Programme and Funding is based on Welsh Government's (WG) Provisional Settlement, received on 21<sup>st</sup> December 2021. This year the capital funding across Wales is reduced from £177m in 2021/22 to £150m for 2022/23. For Carmarthenshire this means a reduction in funding from £11.866m to £10.037m, some £1.829m. This reduction has caused an unexpected shortfall in our funding for the first year of the programme. Capital funding returns to higher levels at £180m across Wales from 2023/24 and is supplement with further funding specifically for decarbonisation projects. The programme reflects this funding. The Final Settlement, is due in March, should there be any amendments in the funding figures that Cabinet will be asked to delegate to the Director of Corporate Services authority to adjust the programme accordingly, in liaison with the Chief Executive, Leader and Cabinet Member for Resources. Similarly, delegated authority to update the programme is sought should any other award of grant funding be received at the same time, for example, transport grants, again in consultation with the same.

### 3. PRIORITIES

- 3.1. The current Corporate Strategy for 2018-2023 (refreshed June 2019) sets out the Authority's strategic priorities, aspirations, overarching themes and core values, and the programme has been developed in line with these, whilst also recognising the priorities that have come forward as a consequence of the pandemic and Levelling Up funding.
- 3.2. The proposed capital programme of £269m over the five years is aimed at delivering a number of key projects that will create jobs and improve the quality of life for the people of Carmarthenshire. Including the delivery of the £82m Pentre Awel development which includes a £27m leisure centre element in Llanelli, the £19m Tywi Valley Path between Carmarthen and Llandeilo, the new £20m Town Centre Hub in Carmarthen, and upgrades to the community sport facilities in Ammanford.

The key investments within the programme are:

	£'m
Schools	73
Housing (Non HRA)	11
Lesiure & Culture	2
Regeneration	39
Swansea City Deal Region	74
ICT and Property	4
Environment	66

## 4. FUNDING

The provisional settlement received from WG allocated capital funding of £10.037m for the Authority in 2022/23, made up of Non-hypothecated Supported Borrowing of £5.942m and General Capital Grant of £4.095m. This is a £1.829m reduction from the 2021/22 award and has caused an unexpected shortfall in our funding for the year. It returns to £12.044m in years two to five of the programme and is also supplemented by a further £1.3m per annum for decarbonisation projects, based on figures provided in the provisional settlement.

- 4.1. The level of capital receipts funding included within the programme has been revised in line with latest estimates. Capital receipts of £3.5m will be applied over the five year period. It should be noted that there may be a need to amend future capital programmes if there is a shortfall in expected receipts.
- 4.2. The use of earmarked reserves was approved as part of previous years' reports and were included as funding for the current capital programme. In total some £36.5m of reserve funding is included over the five years of the programme.
- 4.3. The existing levels of investment into the schools estate programme is maintained with a realisation that additional funding will be needed in future years to deliver the whole MEP programme. New funding will be dependent on the ongoing MEP review which will be presented in a future report. The ongoing MEP review was agreed at a recent meeting of the cabinet.
- 4.4. Funding from external parties in the form of grants for the whole of the capital programme is currently expected to be in the region of £150m which includes £52m for City Deal projects and £33m for Levelling Up projects.
- 4.5. As part of the provisional annual settlement from Welsh Government, funding was made available on an all Wales basis for the following areas:
  - Active Travel Fund, Local Transport Fund, Road Safety and Safe Routes in Communities - £94m for 2022/23. Carmarthenshire will bid for funding from these grants and any successful awards will be added to the capital programme in due course.
  - Ultra-low Emissions Vehicles Transformation - £15m. Carmarthenshire will be bidding for projects under this funding, all-be-it this appears to have dropped from 2021-22.
- 4.6. Disappointingly, no award was made for Highways Refurbishment or Resilient Roads funding as in previous years which means we have had to revise down our commitments in this area. The grant in previous years received by Carmarthenshire was £1.5m and £2m respectively.
- 4.7. Given our significant investments in years 1 and 2 of the programme and the reduced capital settlement from WG we propose to make use of unsupported borrowing, short-term, to prevent what would otherwise be a shortfall in funding at the start of the programme. This will be repaid in years 3, 4 and 5 of the programme where funds are available.

## **5. CAPITAL PROGRAMME 2022/23 TO 2026/27**

- 5.1. When the capital programme was approved at County Council on 3<sup>rd</sup> March 2021 it was fully funded. The new capital programme again remains fully funded over the five-year period.

### **Community Services**

- 5.2. In recent years there have been significant investments across the Community Services portfolio with investments in the new Carmarthenshire Archive, Museums in Abergwili and Parc Howard and the ongoing development at Oriel Myrddin.
- 5.3. The new programme includes the provision of a new leisure centre in Llanelli, which will be delivered in conjunction with the Pentre Awel development under the umbrella of the Swansea Bay City Region.
- 5.4. In 2026/27 within Private Sector Housing, further funding is provided for Disabled Facility Grants of £2.5m. In recent years £2m has been awarded annually in this area so the additional £500k accounts for inflationary pressures.

### **Environment**

- 5.5. For 2026/27 further allocations to existing rolling programmes of work are included, namely Highway Improvements £600k, Bridge Maintenance £400k, Road Safety Improvement £250k, public lighting, £400k.

Given the disappointing omission of specific highways Improvement grant funding in the WG settlement. In order to mitigate the effects of the removal of this funding from WG we propose to make available, from the council's own reserves, £1m to fund highways in 2022/23. This is in addition to our annual commitment of £600k already mentioned. We will work with the WG in the hope that funding towards this important strategic county asset of highways can be restore in future years.

- 5.6. 2026/27 also sees the continuation of the £66k annual allocation to Rights of Ways and Byways, in recognition of our obligations in this area and the wider community health and environmental benefits provided by these valuable resources.
- 5.7. Last year, as part of the reprioritisation of capital resources, funding for the Tywi Valley Path project was repurposed towards measures to stimulate the economy following the Covid-19 pandemic because of the project's lack of external grant funding. However, at the time a commitment was given that if grant funding did become available that we would seek to restore our match funding for this project. Therefore following an award of grant of £16.8m from the UK Government's Levelling Up Fund, £1.9m is awarded to deliver this project. A major investment which will bring significant benefits to the rural economy and improvement to health and wellbeing, and which delivers on our commitment to restore funding should grant funding be forthcoming. This will be funded by unsupported borrowing. In addition £366k is made available to upgrade parking provision for the Tywi Valley Path, making it more



accessible to a wider number of commuters, families, visitors and walking and cycling enthusiasts of all abilities; making it a truly landmark community resource.

- 5.8. New funding for flood risk management of £75k per annum is made available to match external grants in years 1 and 2 of the programme.
- 5.9. An annual allocation of £250k is established for highways drainage, which will help to make a highway network more resilient to future weather events and reduce flood risks.
- 5.10. Significant investment continues to be made available to the upkeep and refurbishment of the County's estate.
  - Recognising the backlog of works across the council's operational estate, last year specific monies were made available for works at County Hall, £2.5m, and Ty Elwyn bringing the total investment to £1.2m. These works continue, alongside £300k for county farms slurry infrastructure.
  - In addition in 2026/27 it is proposed to continue the annual allocation towards Capital Maintenance across the county estate at £3m. (£14.7m across the five years.) This maintains our investment in this area whilst recognising that the estate may be downsized in coming years as we aim to release capital receipts to fund future programmes and await the outcome and recommendations of Better Ways of Working review.
- 5.11. £4.7m for refuse and recycling vehicle replacement is included, together with an additional £1m from reserves as the Authority's match funding contribution to our Waste Strategy which will see the rollout of kerbside sorting for recycling collections. It is hoped that this project will attract significant funding from WG which will see investment in the infrastructure at Nantycaws and the replacement of the current refuse lorries with an electric fleet in the coming years. It will make a huge contribution to our efforts to decarbonise our services to address our local, national and global commitment to Net Zero Carbon.
- 5.12. A five-year Fleet Replacement Programme for £6.5m, excluding refuse and recycling collection vehicles, is included to ensure that vehicles and plant machinery assets are replaced when they reach the end of their viable economic life. The funding for this capital spend will be provided directly from revenue budgets of the service users via prudential borrowing.
- 5.13. As part of the provisional settlement £20m per annum from 2023/24 will be made available on an all Wales basis for the decarbonisation agenda. We have assumed that this will be a proportional allocation per authority on the same basis as the General Capital Grant and that Carmarthenshire's allocation will therefore be £1.34m per year. Funding for the same is included in the programme. Given that the WG funding for decarbonisation is only available from 2023/24 we propose to supplement this programme with £500k from our own resources, set aside from the forecast underspends in 2021/22, in the coming financial year to accelerate decarbonisation measures across the authority's estate in response to the climate emergency. This is in addition to investments in recent years in retro-fitting some of our

buildings through the re-fit Cymru Project and £500k awarded for grants to private business throughout the county to introduce renewable energy measures.

### **Education and Children**

- 5.14. In the Education and Children Services capital programme, the MEP includes the continuation of the 21<sup>st</sup> Century Schools improvement programme. Schemes are funded jointly by Welsh Government grant and the Authority.
- 5.15. As referenced earlier in the report a review of the MEP programme is being undertaken and this will influence the programme and priorities for delivery in future years. Amendments to the capital programme will be reported and incorporated upon completion of the review.
- 5.16. The MEP programme continues to include schemes to a total value of £25m which will be supported through the MIM funding approach.
- 5.17. It is proposed to setup a general education fund of £500k per annum to fund ongoing pressures on the education budget including: Equalities Works, Health and Safety measures, mobile classroom provision. It is proposed to fund this budget from within the already approved MEP funding.
- 5.18. £580k is awarded in 2022/23 to complete the new Bus Bays at Ysgol Dyffryn Taf, reflecting the urgency of the health and safety concerns of the current bus bay provision.

### **Chief Executive**

- 5.19. ICT services are crucial to our future ways of working, therefore, the £2.7m allocated across the programme is maintained. This includes annual funding of £200k to support digital transformational projects across council services. The County Council will also see the benefit of the Swansea Bay City Region Digital Project across the County.

### **Regeneration**

- 5.20. £3.75m is made available to match fund a Levelling Up grant of £15.86m the new Carmarthen town centre hub. A new community resource, in partnership with healthcare and education providers. It will also see a new home of the county's art collections currently unseen by the public, and a new fitness suite – for the final fitout of which a further £402k is made available. This development will bring footfall back to the town centre and be a catalyst for the regeneration and revitalisation of West Wales' premier town centre shopping destination.
- 5.21. Included within the City Deal budget is the Pentre Awel project (Zone 1) which will create five distinct buildings linked with a "street" space, comprising an aquatics centre, sports hall, multipurpose sports and fitness rooms and gym, education and training facilities, clinical delivery and research and innovation and business space. The budgeted costs of Zone 1 is £82m with the funding provided via City Deal (£40m), County Council finances, Llanelli Waterfront JV, and external market funding.

The project will also include the provision of a hydro-therapy pool, which will be part of the leisure element, the funding for which includes approximately £1m from a trust. This project, when costs are finalised, will be subject to a separate County Council report. With reference to the City Deal funding, the expenditure - whilst being incurred by the Authority, will be repaid to the Authority over a period of up to 15 years by both Welsh and UK governments. The structure of the City Deal projects means that WG expects the Authority to deliver the projects and raise the funding through borrowing which will then be repaid over a 15 year period. The projects or the Authority will need to accommodate the interest payments on this borrowing.

- 5.22. The Pentre Awel development also provides for an assisted housing development programme, in Zone 3, which is part of the HRA capital programme.
- 5.23. It should be noted that within the City Deal is the budget for the new Llanelli Leisure Centre at £27m, £1.7m of which is new funding from reserves and £7m previously reported as the Llanelli Area Review.
- 5.24. The County Council will also have an input in the regional projects delivered by the Swansea Bay City Region given its role as lead body.

## **6. WELLBEING OF FUTURE GENERATIONS (WALES) ACT 2015**

- 6.1. In considering the capital programme, members need to take into consideration the requirements of the Wellbeing of Future Generations (Wales) Act 2015. The Act requires the public bodies to carry out development sustainably, improving the economic, social, environmental and cultural well-being of Wales.

‘... 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’

- 6.2. In doing so, we must demonstrate the following five ways of working:
  - i. Looking at the long-term so that we do not compromise the ability of future generations to meet their own needs
  - ii. Understanding the root causes of issues to prevent them recurring
  - iii. Taking an integrated approach so that we look at all well-being goals and objectives of other services and partners
  - iv. Working with others in a collaborative way to find shared sustainable solutions
  - v. Involving a diversity of population in decisions that affect them

- 6.3. The Act identifies seven well-being goals and provide a shared vision for public bodies to work towards. We must work towards achieving all of them.
- i. A prosperous Wales
  - ii. A resilient Wales
  - iii. A healthier Wales
  - iv. A more equal Wales
  - v. A Wales of cohesive communities
  - vi. A Wales of vibrant culture and thriving Welsh Language
  - vii. A globally responsible Wales
- 6.4. Our well-being objectives are designed to maximise our contribution to achieving the seven well-being goals of the Act.
- 6.5. All projects within the programme have been assesses and scored with the five ways of working, the seven goals and our corporate well-being statement in mind.

## 7.

**SUMMARY**

The table below gives a breakdown of the expenditure by departments and the sources of funding.

<b>CAPITAL PROGRAMME SUMMARY</b>						
	<b>2022/23</b>	<b>2023/24</b>	<b>2024/25</b>	<b>2025/26</b>	<b>2026/27</b>	<b>Total</b>
	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>
<b><u>Expenditure</u></b>						
Community Services	2,970	3,042	2,300	2,000	2,500	12,812
Environment	21,163	22,782	7,610	7,481	6,364	65,400
Education & Children	50,362	17,435	3,366	1,476	500	73,138
Chief Executive	1,755	465	1,657	200	200	4,277
Regeneration	68,595	33,801	4,500	6,294	201	113,391
<b>Total Expenditure</b>	<b>144,844</b>	<b>77,525</b>	<b>19,433</b>	<b>17,451</b>	<b>9,765</b>	<b>269,018</b>
<b><u>Grants and Contributions</u></b>						
External Funding	92,595	48,338	5,035	4,000	0	149,968
<b>Net Expenditure Funded by CCC</b>	<b>52,249</b>	<b>29,187</b>	<b>14,398</b>	<b>13,451</b>	<b>9,765</b>	<b>119,050</b>
<b><u>CCC Funding</u></b>						
Non-hypothecated Supported Borrowing	5,942	5,942	5,942	5,942	5,942	29,710
Unsupported Borrowing	5,648	1,406	-500	-1,947	-4,607	0
Prudential Borrowing - Fleet	1,980	7,250	1,000	1,000	0	11,230
General Capital Grant	4,095	6,102	6,102	6,102	6,102	28,503
Decarbonisation General Capital Grant	0	1,338	1,338	1,338	1,338	5,352
Capital Reserves	32,386	3,133	0	500	500	36,519
Joint Venture Funding Llanelli Leisure Centre	0	3,500	0	0	0	3,500
Direct Revenue Funding	2,198	516	516	516	490	4,236
<b>Overall Net Position: Surplus + / Deficit (-)</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

7.1. To summarise the overall position, the capital programme is fully funded for the five years from 2022/23 to 2026/27.

7.2. The total cost of the programme is £269m of which £150m is funded from external grants and contributions.

7.3. The full detail of the proposed five-year capital programme is attached in Appendix A.

## **8. REVENUE IMPLICATIONS**

8.1. The revenue budget strategy in 2022/23 allows for a £400k increase in the revenue budget implications of the capital programme.

## **9. RECOMMENDATIONS**

9.1 That the Policy and Resources Scrutiny Committee consider the content of this report and put forward any recommendations for consideration by Cabinet.

## Capital Programme 2022/23 - 2026/27

Capital Project 2022/23-2026/27	Year 1			Year 2			Year 3			Year 4			Year 5			Five Year Total 2022/23:2026/27		
COUNCIL FUND	County Council Funding	External Funding	Total Scheme	County Council Funding	External Funding	Total Scheme	County Council Funding	External Funding	Total	County Council Funding	External Funding	Total	County Council Funding	External Funding	Total	County Council Funding	External Funding	Total
	2022/23			2023/24			2024/25			2025/26			2026/27			Five Year Total		
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000
<b>COMMUNITIES</b>																		
<i>Private Sector Housing</i>																		
Disabled Facility Grants	1,700	0	1,700	2,000	0	2,000	2,300	0	2,300	2,000	0	2,000	2,500	0	2,500	10,500	0	10,500
Enable - Adaptation to assist independent living	0	270	270	0	0	0	0	0	0	0	0	0	0	0	0	0	270	270
<i>Sports &amp; Leisure</i>																		
Amman Valley Leisure Centre 3G Pitch	700	300	1,000	1,042	0	1,042	0	0	0	0	0	0	0	0	0	1,742	300	2,042
<i>Ports</i>																		
Burry Port Harbour Walls	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>Total Communities</b>	<b>2,400</b>	<b>570</b>	<b>2,970</b>	<b>3,042</b>	<b>0</b>	<b>3,042</b>	<b>2,300</b>	<b>0</b>	<b>2,300</b>	<b>2,000</b>	<b>0</b>	<b>2,000</b>	<b>2,500</b>	<b>0</b>	<b>2,500</b>	<b>12,242</b>	<b>570</b>	<b>12,812</b>

## Capital Programme 2022/23 - 2026/27

Capital Project 2022/23-2026/27	Year 1			Year 2			Year 3			Year 4			Year 5			Five Year Total 2022/23:2026/27		
COUNCIL FUND	County Council Funding	External Funding	Total Scheme	County Council Funding	External Funding	Total Scheme	County Council Funding	External Funding	Total	County Council Funding	External Funding	Total	County Council Funding	External Funding	Total	County Council Funding	External Funding	Total
	2022/23			2023/24			2024/25			2025/26			2026/27			Five Year Total		
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000
<b>ENVIRONMENT</b>																		
<i>Countryside</i>																		
Byways	16	0	16	16	0	16	16	0	16	16	0	16	16	0	16	80	0	80
Rights of Way Improvement Programme	50	0	50	50	0	50	50	0	50	50	0	50	50	0	50	250	0	250
<i>Coastal and Flood Defence</i>																		
Trebeddrod Reservoir	300	0	300	0	0	0	0	0	0	0	0	0	0	0	0	300	0	300
Flood Management	75	425	500	75	425	500	0	0	0	0	0	0	0	0	0	150	850	1,000
<i>Fleet Management</i>																		
Fleet Replacement - Prudential Borrowing	1,980	0	1,980	2,520	0	2,520	1,000	0	1,000	1,000	0	1,000	0	0	0	6,500	0	6,500
<i>Infrastructure</i>																		
Multi Storey Car Park, Llanelli	60	0	60	60	0	60	60	0	60	60	0	60	60	0	60	300	0	300
Highways	1,600	0	1,600	600	0	600	600	0	600	600	0	600	600	0	600	4,000	0	4,000
Highways Drainage	250	0	250	250	0	250	250	0	250	250	0	250	250	0	250	1,250	0	1,250
Bridges and Structures	400	0	400	400	0	400	400	0	400	400	0	400	400	0	400	2,000	0	2,000
Street Lighting Replacement & Upgrade	0	0	0	0	0	0	400	0	400	400	0	400	400	0	400	1,200	0	1,200
<i>Waste Management</i>																		
Refuse and Recycling Strategic Infrastructure Transformation	1,000	0	1,000	0	0	0	0	0	0	0	0	0	0	0	0	1,000	0	1,000
Refuse Vehicles replacement	0	0	0	2,125	0	2,125	0	0	0	0	0	0	0	0	0	2,125	0	2,125
Decarbonisation of Refuse and Recycling Collection Vehicles	0	0	0	2,605	0	2,605	0	0	0	0	0	0	0	0	0	2,605	0	2,605
<i>Transportation</i>																		
Road Safety Improvement Schemes	250	0	250	250	0	250	250	0	250	250	0	250	250	0	250	1,250	0	1,250
A4138 Hendy Link Road	50	0	50	0	0	0	0	0	0	0	0	0	0	0	0	50	0	50
Highway Junction Improvements/Signals Upgrade	25	0	25	0	0	0	0	0	0	0	0	0	0	0	0	25	0	25
Active Travel - Walking & Cycling Linkages	100	0	100	0	0	0	0	0	0	0	0	0	0	0	0	100	0	100
Cross Hands Economic Link Road Phase 2	750	0	750	0	0	0	0	0	0	0	0	0	0	0	0	750	0	750
<i>Public Transport Infrastructure</i>																		
Tywi Valley Path - Levelling Up Fund	956	8,601	9,556	863	8,174	9,037	0	0	0	45	0	45	0	0	0	1,864	16,775	18,639
Tywi Valley Path - Carparking provision	193	0	193	193	0	193	0	0	0	0	0	0	0	0	0	386	0	386
<i>Property</i>																		
Capital Maintenance	2,582	0	2,582	2,838	0	2,838	3,246	0	3,246	3,072	0	3,072	3,000	0	3,000	14,738	0	14,738
Decarbonisation of Estate Programme	500	0	500	1,338	0	1,338	1,338	0	1,338	1,338	0	1,338	1,338	0	1,338	5,852	0	5,852
County Hall	1,000	0	1,000	0	0	0	0	0	0	0	0	0	0	0	0	1,000	0	1,000
<b>Total Environment</b>	<b>12,137</b>	<b>9,026</b>	<b>21,162</b>	<b>14,183</b>	<b>8,599</b>	<b>22,782</b>	<b>7,610</b>	<b>0</b>	<b>7,610</b>	<b>7,481</b>	<b>0</b>	<b>7,481</b>	<b>6,364</b>	<b>0</b>	<b>6,364</b>	<b>47,775</b>	<b>17,625</b>	<b>65,400</b>



## Capital Programme 2022/23 - 2026/27

Capital Project 2022/23-2026/27	Year 1			Year 2			Year 3			Year 4			Year 5			Five Year Total 2022/23:2026/27		
COUNCIL FUND	County Council Funding	External Funding	Total Scheme	County Council Funding	External Funding	Total Scheme	County Council Funding	External Funding	Total	County Council Funding	External Funding	Total	County Council Funding	External Funding	Total	County Council Funding	External Funding	Total
	2022/23			2023/24			2024/25			2025/26			2026/27			Five Year Total		
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000
<b>EDUCATION &amp; CHILDREN</b>																		
<b>Schools: General Projects</b>																		
Non MEP Education Works - Equalities Works, Mobiles, H&S etc	500	0	500	500	0	500	500	0	500	500	0	500	500	0	500	2,500	0	2,500
Dyffryn Taf Bus Bays	580	0	580	0	0	0	0	0	0	0	0	0	0	0	0	580	0	580
School Capital Maintenance	3,141	0	3,141	0	0	0	0	0	0	0	0	0	0	0	0	3,141	0	3,141
Improving Ventilation in Schools	134	0	134	0	0	0	0	0	0	0	0	0	0	0	0	134	0	134
<b>21st Century BandA - Design stage Projects</b>																		
Rhydygors	20	0	20	20	0	20	0	0	0	0	0	0	0	0	0	40	0	40
Laugharne	100	0	100	100	0	100	0	0	0	0	0	0	0	0	0	200	0	200
Dewi Sant	100	0	100	100	0	100	0	0	0	0	0	0	0	0	0	200	0	200
<b>21st Century BandA - Approved Schemes</b>																		
Llangadog	0	492	492	0	0	0	0	0	0	0	0	0	0	0	0	0	492	492
Rhys Prichard	23	0	23	0	0	0	0	0	0	0	0	0	0	0	0	23	0	23
<b>21st Century BandB - Design stage Projects</b>																		
Ammanford Primary Welsh Medium	100	0	100	100	0	100	0	235	235	0	0	0	0	0	0	200	235	435
Ammanford Primary Dual Stream	100	0	100	100	0	100	0	1,800	1,800	0	0	0	0	0	0	200	1,800	2,000
Llandello	50	0	50	50	0	50	0	0	0	0	0	0	0	0	0	100	0	100
Ysgol Gymraeg Gwenllian	20	0	20	20	0	20	0	0	0	0	0	0	0	0	0	40	0	40
Cross Hands Area	20	0	20	20	0	20	0	0	0	0	0	0	0	0	0	40	0	40
Penygaer	20	0	20	20	0	20	0	0	0	0	0	0	0	0	0	40	0	40
Carmarthen West	50	0	50	50	0	50	0	0	0	0	0	0	0	0	0	100	0	100
Hendy	100	0	100	100	0	100	0	0	0	0	0	0	0	0	0	200	0	200
Llanybydder/Llanllwmi	20	0	20	20	0	20	0	0	0	0	0	0	0	0	0	40	0	40
Gwendraeth Valley North	20	0	20	20	0	20	0	0	0	0	0	0	0	0	0	40	0	40
Gwendraeth Valley Central	20	0	20	20	0	20	0	0	0	0	0	0	0	0	0	40	0	40
Llandybie	50	0	50	50	0	50	0	0	0	0	0	0	0	0	0	100	0	100
Heol Goffa New School	100	0	100	100	0	100	0	0	0	0	0	0	0	0	0	200	0	200
Bryngwyn	100	0	100	100	0	100	0	0	0	0	0	0	0	0	0	200	0	200
Bro Myrddin	100	0	100	100	0	100	0	0	0	0	0	0	0	0	0	200	0	200
<b>21st Century BandB - Approved Schemes</b>																		
Y Castell	0	1,155	1,155	0	60	60	0	0	0	0	0	0	0	0	0	0	1,215	1,215
Pum Heol	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Pembrey	2,771	3,310	6,081	110	0	110	0	0	0	0	0	0	10	0	10	2,881	3,310	6,191
<b>21st Century Match Funding</b>																		
Band A Funding	1,536	3,012	4,548	872	3,570	4,442	0	0	0	0	0	0	0	0	0	2,408	6,582	8,990
Band B Funding	4,130	27,830	31,960	823	10,410	11,233	831	0	831	976	0	976	0	0	0	6,760	38,240	45,000
Childcare Places Offer Grant	0	658	658	0	0	0	0	0	0	0	0	0	0	0	0	0	658	658
<b>Total Education &amp; Children</b>	<b>13,905</b>	<b>36,457</b>	<b>50,362</b>	<b>3,395</b>	<b>14,040</b>	<b>17,435</b>	<b>1,331</b>	<b>2,035</b>	<b>3,366</b>	<b>1,476</b>	<b>0</b>	<b>1,476</b>	<b>500</b>	<b>0</b>	<b>500</b>	<b>20,607</b>	<b>52,532</b>	<b>73,139</b>

## Capital Programme 2022/23 - 2026/27

Capital Project 2022/23-2026/27	Year 1			Year 2			Year 3			Year 4			Year 5			Five Year Total 2022/23:2026/27		
COUNCIL FUND	County Council Funding	External Funding	Total Scheme	County Council Funding	External Funding	Total Scheme	County Council Funding	External Funding	Total	County Council Funding	External Funding	Total	County Council Funding	External Funding	Total	County Council Funding	External Funding	Total
	2022/23			2023/24			2024/25			2025/26			2026/27			Five Year Total		
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000
<b>CHIEF EXECUTIVE</b>																		
<i>Property</i>																		
Rural Estate Infrastructure	0	0	0	0	0	0	300	0	300	0	0	0	0	0	0	300	0	300
St David's Park - Block 3	1,290	0	1,290	0	0	0	0	0	0	0	0	0	0	0	0	1,290	0	1,290
Digital Transformation	200	0	200	200	0	200	200	0	200	200	0	200	200	0	200	1,000	0	1,000
PSBA Network	75	0	75	75	0	75	75	0	75	0	0	0	0	0	0	225	0	225
Strategic Digital Initiatives	100	0	100	100	0	100	100	0	100	0	0	0	0	0	0	300	0	300
Information Security and Governance	50	0	50	50	0	50	50	0	50	0	0	0	0	0	0	150	0	150
Virtualised Server & Storage Environment Replacement	0	0	0	0	0	0	400	0	400	0	0	0	0	0	0	400	0	400
UPS 15KVA	15	0	15	15	0	15	0	0	0	0	0	0	0	0	0	30	0	30
Voice Infrastructure	25	0	25	25	0	25	20	0	20	0	0	0	0	0	0	70	0	70
Business Critical Infrastructure & Strategic ICT Development	0	0	0	0	0	0	512	0	512	0	0	0	0	0	0	512	0	512
<b>Total Chief Executive</b>	<b>1,755</b>	<b>0</b>	<b>1,755</b>	<b>465</b>	<b>0</b>	<b>465</b>	<b>1,657</b>	<b>0</b>	<b>1,657</b>	<b>200</b>	<b>0</b>	<b>200</b>	<b>200</b>	<b>0</b>	<b>200</b>	<b>4,277</b>	<b>0</b>	<b>4,277</b>

## Capital Programme 2022/23 - 2026/27

Capital Project 2022/23-2026/27	Year 1			Year 2			Year 3			Year 4			Year 5			Five Year Total 2022/23:2026/27		
COUNCIL FUND	County Council Funding	External Funding	Total Scheme	County Council Funding	External Funding	Total Scheme	County Council Funding	External Funding	Total	County Council Funding	External Funding	Total	County Council Funding	External Funding	Total	County Council Funding	External Funding	Total
	2022/23			2023/24			2024/25			2025/26			2026/27			Five Year Total		
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000
<b>REGENERATION</b>																		
Transformational Strategy Project Fund	1,500	3,000	4,500	0	0	0	1,500	3,000	4,500	2,000	4,000	6,000	0	0	0	5,000	10,000	15,000
Rural Employment Spaces JV	0	0	0	1,000	1,000	2,000	0	0	0	0	0	0	0	0	0	1,000	1,000	2,000
<b>Ammanford, Carmarthen &amp; Rural Area</b>																		
Carmarthen Hub - Levelling Up Fund	1,759	7,443	9,202	1,896	8,417	10,313	0	0	0	93	0	93	0	0	0	3,748	15,860	19,608
Carmarthen Hub - Fit-out	0	0	0	0	0	0	0	0	0	201	0	201	201	0	201	402	0	402
Pendine Iconic International Visitors Destination	1,700	0	1,700	0	0	0	0	0	0	0	0	0	0	0	0	1,700	0	1,700
<b>Swansea Bay City Region Projects</b>																		
City Deal - Pentre Awel Wellness Project	0	36,100	36,100	0	11,781	11,781	0	0	0	0	0	0	0	0	0	0	47,881	47,881
City Deal - Llanelli Leisure Centre	17,094	0	17,094	5,206	4,500	9,706	0	0	0	0	0	0	0	0	0	22,300	4,500	26,800
<b>Total Regeneration</b>	<b>22,053</b>	<b>46,543</b>	<b>68,596</b>	<b>8,102</b>	<b>25,698</b>	<b>33,801</b>	<b>1,500</b>	<b>3,000</b>	<b>4,500</b>	<b>2,294</b>	<b>4,000</b>	<b>6,294</b>	<b>201</b>	<b>0</b>	<b>201</b>	<b>34,150</b>	<b>79,241</b>	<b>113,391</b>
<b>Total Council Fund</b>	<b>52,249</b>	<b>92,595</b>	<b>144,844</b>	<b>29,187</b>	<b>48,338</b>	<b>77,525</b>	<b>14,398</b>	<b>5,035</b>	<b>19,433</b>	<b>13,451</b>	<b>4,000</b>	<b>17,451</b>	<b>9,765</b>	<b>0</b>	<b>9,765</b>	<b>119,050</b>	<b>149,968</b>	<b>269,018</b>
<b>Total Council Fund Excluding HRA</b>	<b>52,249</b>	<b>92,595</b>	<b>144,844</b>	<b>29,187</b>	<b>48,338</b>	<b>77,525</b>	<b>14,398</b>	<b>5,035</b>	<b>19,433</b>	<b>13,451</b>	<b>4,000</b>	<b>17,451</b>	<b>9,765</b>	<b>0</b>	<b>9,765</b>	<b>119,050</b>	<b>149,968</b>	<b>269,018</b>

## Capital Programme 2022/23 - 2026/27

Capital Project 2022/23-2026/27	Year 1			Year 2			Year 3			Year 4			Year 5			Five Year Total 2022/23:2026/27		
COUNCIL FUND	County Council Funding	External Funding	Total Scheme	County Council Funding	External Funding	Total Scheme	County Council Funding	External Funding	Total	County Council Funding	External Funding	Total	County Council Funding	External Funding	Total	County Council Funding	External Funding	Total
	2022/23			2023/24			2024/25			2025/26			2026/27			Five Year Total		
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000
<b>Sources of Funding</b>																		
Borrowing	13,570	0	13,570	14,598	0	14,598	6,442	0	6,442	4,995	0	4,995	1,335	0	1,335	40,940	0	40,940
Capital Receipts	0	0	0	3,500	0	3,500	0	0	0	0	0	0	0	0	0	3,500	0	3,500
Reserves / Revenue	34,584	0	34,584	3,649	0	3,649	516	0	516	1,016	0	1,016	990	0	990	40,755	0	40,755
Highways & Transport Grants		9,026	9,026		8,599	8,599		0	0		0	0		0	0	0	17,625	17,625
Economic Development Grants		46,543	46,543		25,698	25,698		3,000	3,000		4,000	4,000		0	0	0	79,241	79,241
Education Grants		36,457	36,457		14,040	14,040		2,035	2,035		0	0		0	0	0	52,532	52,532
Other Grants & Funding	4,095	570	4,665	7,440	0	7,440	7,440	0	7,440	7,440	0	7,440	7,440	0	7,440	33,855	570	34,425
<b>Total Capital Programme Funding</b>	<b>52,249</b>	<b>92,595</b>	<b>144,844</b>	<b>29,187</b>	<b>48,338</b>	<b>77,525</b>	<b>14,398</b>	<b>5,035</b>	<b>19,433</b>	<b>13,451</b>	<b>4,000</b>	<b>17,451</b>	<b>9,765</b>	<b>0</b>	<b>9,765</b>	<b>119,050</b>	<b>149,968</b>	<b>269,018</b>
<b>Summary of Expenditure by Services</b>																		
Public Housing																		
Private Housing	1,700	270	1,970	2,000	0	2,000	2,300	0	2,300	2,000	0	2,000	2,500	0	2,500	10,500	270	10,770
Social Care	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Culture & Leisure	700	300	1,000	1,042	0	1,042	0	0	0	0	0	0	0	0	0	1,742	300	2,042
Transportation, Infrastructure & Municipal	8,055	9,026	17,080	10,007	8,599	18,606	3,026	0	3,026	3,071	0	3,071	2,026	0	2,026	26,185	17,625	43,810
Economic Development	22,053	46,543	68,596	8,102	25,698	33,801	1,500	3,000	4,500	2,294	4,000	6,294	201	0	201	34,150	79,241	113,391
Education & Children	13,905	36,457	50,362	3,395	14,040	17,435	1,331	2,035	3,366	1,476	0	1,476	500	0	500	20,607	52,532	73,139
Property	5,372	0	5,372	4,176	0	4,176	4,884	0	4,884	4,410	0	4,410	4,338	0	4,338	23,180	0	23,180
ICT	465	0	465	465	0	465	1,357	0	1,357	200	0	200	200	0	200	2,687	0	2,687
<b>Total Capital Expenditure by Service</b>	<b>52,249</b>	<b>92,595</b>	<b>144,844</b>	<b>29,187</b>	<b>48,338</b>	<b>77,525</b>	<b>14,398</b>	<b>5,035</b>	<b>19,433</b>	<b>13,451</b>	<b>4,000</b>	<b>17,451</b>	<b>9,765</b>	<b>0</b>	<b>9,765</b>	<b>119,050</b>	<b>149,968</b>	<b>269,018</b>
<b>Summary of Expenditure by Department</b>																		
Community Services	2,400	570	2,970	3,042	0	3,042	2,300	0	2,300	2,000	0	2,000	2,500	0	2,500	12,242	570	12,812
Environment	12,137	9,026	21,162	14,183	8,599	22,782	7,610	0	7,610	7,481	0	7,481	6,364	0	6,364	47,775	17,625	65,400
Education & Children	13,905	36,457	50,362	3,395	14,040	17,435	1,331	2,035	3,366	1,476	0	1,476	500	0	500	20,607	52,532	73,139
Chief Executive	1,755	0	1,755	465	0	465	1,657	0	1,657	200	0	200	200	0	200	4,277	0	4,277
Regeneration including City Deal	22,053	46,543	68,596	8,102	25,698	33,801	1,500	3,000	4,500	2,294	4,000	6,294	201	0	201	34,150	79,241	113,391
<b>Total Capital Expenditure By Department</b>	<b>52,249</b>	<b>92,595</b>	<b>144,844</b>	<b>29,187</b>	<b>48,338</b>	<b>77,525</b>	<b>14,398</b>	<b>5,035</b>	<b>19,433</b>	<b>13,451</b>	<b>4,000</b>	<b>17,451</b>	<b>9,765</b>	<b>0</b>	<b>9,765</b>	<b>119,050</b>	<b>149,968</b>	<b>269,018</b>
External Grants	0	92,595	92,595	0	48,338	48,338	0	5,035	5,035	0	4,000	4,000	0	0	0	0	149,968	149,968
Net CCC Funding	52,249	0	52,249	29,187	0	29,187	14,398	0	14,398	13,451	0	13,451	9,765	0	9,765	119,050	0	119,050

# CAPITAL STRATEGY

2022 - 2023

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Cyngor **Sir Gâr**  
**Carmarthenshire**  
County Council



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## CAPITAL STRATEGY 2022-23

### PURPOSE AND AIMS

The Prudential Code for Capital Finance in Local Authorities was updated by the Chartered Institute of Public Finance and Accountancy (CIPFA) in December 2017.

This Code dictates that “authorities should have in place a capital strategy that sets out the long-term context in which capital expenditure and investment decisions are made and gives due consideration to both risk and reward and impact on the achievement of priority outcomes.”

The Capital Strategy shows how this Council makes capital expenditure and investment decisions in line with service objectives and properly takes account of:

- Stewardship / good professional practice
- Value for money
- Prudence / risks considered
- Sustainability
- Affordability

It sets out a framework for the self-management of capital finance and examines the following areas:

- Capital expenditure and investment plans
- Treasury Management
- Prudential Indicators
- Commercial activity
- Knowledge and skills

The above considerations help to support local strategic planning, local asset management planning and effective option appraisal.

Through this Capital Strategy elected members and other stakeholders will see how future capital expenditure, capital financing and treasury management activities will contribute to the provision of services, together with a summary of how associated risks are managed

and the implications for future financial sustainability. It also highlights the governance framework required to ensure the Strategy is delivered.

### ECONOMIC BACKGROUND

It is important to set out the external environment in which Carmarthenshire County Council is currently operating. One of the key factors that impact directly on the capital programme is the reduced revenue funding for local government. Owing to the pressure on public finances, the funds allocated from the Welsh Government to this council to run its services is substantially lower than in recent years. Carmarthenshire will continue to identify, plan, fund and invest longer term in non-current assets to help the council deliver departmental strategies and wider plans.

### CARMARTHENSHIRE'S STRATEGIC RESPONSE

In considering capital implications, the authority takes into consideration the requirements of the Wellbeing of Future Generations (Wales) Act 2015. The Act requires that we must carry out sustainable development, improving the economic, social environmental and cultural well-being of Wales. The Act requires us to look at the long-term prevention of recurring problems, integrating our approach, collaborating with others, and involving stakeholders. Carmarthenshire's Well Being objectives have a direct impact on the Council Capital Strategy. Some of these include:

- Start Well - help to give every child the best start in life and improve their early life experience
- Live Well - increase the availability of rented and affordable homes
- Age Well - support the growing numbers of older people to maintain dignity and independence in their later years

- In a Healthy and Safe Environment - improve the highway and transport infrastructure and connectivity

This Capital Strategy supports Carmarthenshire's Well-being Objectives. Consideration is also increasingly given to the authority's *Net Zero Carbon Plan*.

### WHAT IS CAPITAL EXPENDITURE?

Capital expenditure is expenditure on non-current assets such as Property, Plant and Equipment, Investment Properties and Heritage Assets. This would include the acquisition or construction of new assets, together with any subsequent expenditure on major upgrades or development work to those assets.

Expenditure which adds to and does not merely maintain the value of an existing asset, should be treated as capital, if it yields benefits to the authority and the services it provides for a period of more than one year.

Capital expenditure is defined by legislation as:

- the acquisition, reclamation, enhancement or laying out of land,
- the acquisition, construction, preparation, enhancement or replacement of roads, buildings and other structures,
- the acquisition, installation, or replacement of moveable or immovable plant,
- machinery, apparatus, vehicles and vessels.

An understanding of what constitutes capital expenditure is fundamental to realising the benefits that an authority can obtain under the Prudential framework. Unless expenditure qualifies as capital it will normally fall outside the scope of the framework and be charged to revenue in the period that the expenditure is incurred. If expenditure meets the definition of capital, there may be opportunities to finance the outlay from capital receipts (funds raised from the sale of surplus assets e.g. a former

school site) or by spreading the cost over future years' revenues (i.e. through Minimum Revenue Provision).

### CARMARTHENSHIRE'S APPROACH TO CAPITAL INVESTMENT

A [Managing Capital](#) procedure document has been adopted as a policy for the Authority. Within this document Carmarthenshire's approach to capital investment is conveyed. A sub-strategy that feeds into the Authority's overall Corporate Strategy is the Capital Programme. The Programme is closely linked to various other sub-strategies such as the Corporate Asset Management Plan, Local Transport Plan, Digital Transformation Strategy and the Service Departments' Business Plans. The 'Managing Capital' document explains that the aim is to deliver projects and outputs that meet the set objectives. The Capital Programme is prepared and approved on a five-year forward plan basis to:

- Provide a detailed implementation plan to enable the high-level objectives to be realised,
- Provide a financial commitment to allow enough time to adequately plan,
- design and implement future schemes and projects,
- Provide an overview of the likely future commitments arising from current schemes.

Carmarthenshire's Capital Strategy defines and outlines its approach to capital investment and is fundamental to the Council's financial planning processes. It aims to ensure that:

- Capital expenditure contributes to the achievement of the Council's strategic plan,
- An affordable and sustainable capital programme is delivered,
- Use of resources and value for money is maximised,
- A clear framework for making capital expenditure decisions is provided,

- A corporate approach to generating capital resources is established,
- Access to enough long-term assets to provide services are acquired and retained,
- Invest to Save initiatives to make efficiencies within the Council's revenue budget are encouraged,
- An appraisal and prioritisation process for new schemes is robust.

#### **GOVERNANCE FRAMEWORK**

It is important given the risks surrounding Capital Projects that the appropriate Governance framework is in place:

#### **Capital Programme Approvals**

All capital expenditure must be carried out in accordance with the financial regulations. The

expenditure must comply with the statutory definition of capital purposes as defined within this document and wider financial standards. The Capital Programme approved by Full Council as part of the Council's annual budget report sets the capital funding availability for the Council, the prioritisation of funding and the schemes receiving entry into the Capital Programme. All schemes are formally approved for inclusion in the capital programme by following a process set out in the financial regulations. Officers are not authorised to commit expenditure without prior formal approval as set out in the financial regulations. Each scheme must be under the control of a responsible person/project manager.

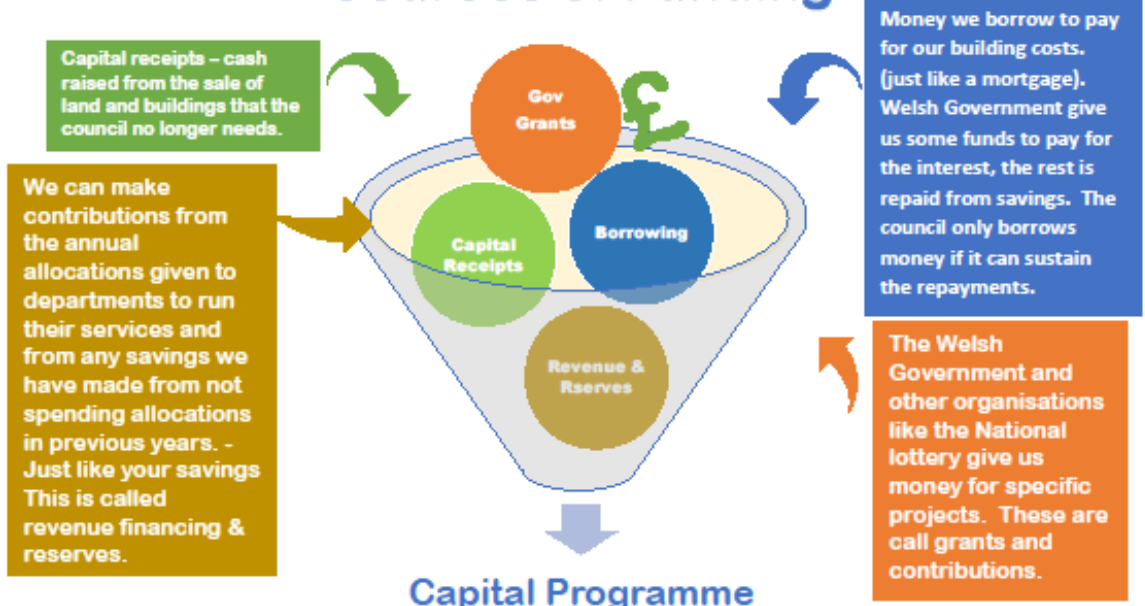






This Strategy is intended to maximise the financial resources available for investment in service provision and improvement within the framework of the Medium-Term Financial Plan. Whilst at the same time ensuring that each business case has a robust self-sustaining financial model that delivers on the wider outcomes of the strategy.

# Sources of Funding



## Capital Programme



### Overview of General Fund Capital Programme

Capital Budgets by Department:	2022/23 £'000	2023/24 £'000	2024/25 £'000
Communities	2,970	3,042	2,300
Environment	21,163	22,782	7,610
Education & Children	50,361	17,435	3,366
Chief Executive	1,755	465	1,657
Regeneration	15,402	12,314	4,500
City Deal Projects	53,194	21,487	0
<b>Total Budget</b>	<b>144,844</b>	<b>77,525</b>	<b>19,433</b>

Financed by:	2022/23 £'000	2023/24 £'000	2024/25 £'000
Borrowing	13,570	14,598	6,442
Unhypothecated General Capital Grants	4,095	7,440	7,440
External Grants & Contributions	92,595	48,338	5,035
Reserves	32,386	3,133	0
Direct Revenue Financing	2,198	516	516
Capital Receipts	0	3,500	0
<b>Total Funding</b>	<b>144,844</b>	<b>77,525</b>	<b>19,433</b>

#### OUR

Cabinet have

aspirations for Carmarthenshire in the document “Moving forward in Carmarthenshire: the next five years”. The capital programme has been developed and approved to support this vision for the future to become a reality. In addition, we have revised our priorities to include an economic stimulus package for local businesses as a direct response to the Covid-19 pandemic.

#### PRIORITIES

set out their

#### Modernising Education

A modernising education programme is the flagship policy which has seen over £200million invested to date, in the building of new schools and upgrading others, with a further commitment to fund future investments of £129million.

#### Health & Wellbeing

Improving the health and wellbeing of residents is a key aspiration and to this end we are committed to delivering:

- A new leisure centre for Llanelli as part of the Swansea Bay City Deal Pentre Awel Wellness Project,
- Developing Carmarthenshire as a national hub for cycling. To this end we have already seen investments in a new BMX track and a closed road circuit in Pembrey, which have

complemented the existing facilities at the Brechfa Forest and the velodrome in Carmarthen.

### **Agile Working / New ways of Working**

An agile working approach across the authority coupled with a desire to embrace and compound new ways of working, fast-tracked because of the pandemic, will enable us to make the best use of resources and identify any redundant assets that could be sold; raising income from capital receipts to fund strategic capital projects.

### **Helping Local Businesses**

Many businesses have seen a downturn in fortunes because of the pandemic. A dedicated economic stimulus and business support package together with wider regeneration funding, will boost local economies. It includes specific investment in a growth plan for our smaller ten satellite towns.

### **Cultural Heritage**

Building on our transformation plan for the museum provision. Major refurbishments at the county museum at Abergwili, Parc Howard, and a new Museum of Speed at Pendine, together with a new county archive and storage facility at “Y Stordy” will ensure that our valuable cultural learning and tourism resource is improved for residents and visitors and maintained for future generations. Further investment in culture will see the redevelopment of the Oriel Myrddin Gallery in Carmarthen. This will also build on our commitment to see the wider regeneration of the “Old Town Quarter” within the County Town.

### **Decarbonisation**

In a commitment to future generations, we have put in place a package funding that will see decarbonisation measures rolled out across our built estate and our Fleet. Grant funding is also made available for local business to embrace renewable energy. We will also see

growing investments in electric car charging infrastructure across the county.

### **Highways**

The economic prosperity of our towns is enhanced by improvements to road infrastructure.

The new Carmarthen western link road has provided much needed improvements to traffic flows, access to the new S4C headquarters at “Yr Egin” and the planned Phase 2 of that development and created development opportunities for new housing and retail.

The Cross Hands economic distributor road coupled with associated developments at the Cross Hands strategic employment site will boost the economy in the Gwendraeth Valley. The longer-term plans for the development of the Ammanford distributor road will improve traffic flows and enhance retail investment opportunities.

### **Digital Transformation**

Information Communication Technology (ICT) is crucial to our future ways of working. Our digital transformation programme aims to ensure that Carmarthenshire services are fit for purpose in the digital age. The county will also benefit from the rollout of enhanced regional connectivity as part of investments by the Swansea Bay City Region.

### **Housing**

Carthenshire’s Housing Revenue Account Business Plan 2021-2024 details the Council’s priorities, plans and actions for council housing in Carmarthenshire for the future years. The plan covers all housing services and assets in the Housing Revenue Account (HRA). The purpose of this Plan is to explain the vision and detail of our Housing Investment Programme, and what it means for tenants. Maintaining the ‘Welsh Housing Quality Standard’ (WHQS) is a statutory duty which Carmarthenshire exceeds by maintaining our Carmarthenshire Homes

Standard. Against a background of the borrowing cap being lifted by central government for local authority HRA borrowing, Carmarthenshire has delivered 1000 Affordable Homes by March 2020, a year ahead of the scheduled target of 1000 by 2021. In 2021 we published the new Housing Regeneration and Development Delivery Plan which outlines our plans to support the delivery of over 2000 new homes over the next 5 years. We also completed a research programme with Cardiff University to model and develop our Decarbonisation Strategy and implement a new Asset Management System, which will be embedded in future investment programmes. In addition, the Council plans to continue to invest over £64m in maintaining tenants' homes over the next three years.

- The Council recognises the importance of strategic asset management in providing the foundation for its investment plans so within the HRA Business Plan has highlighted five key themes for future investment:
- Supporting tenants & residents
- Investing in our homes & the environment.
- Providing more homes.
- Decarbonising our stock and services
- Local economy, Community Benefits & procurement.

#### HRA CAPITAL SPENDING AND FUNDING

HRA Capital Budgets:	2022/23 £'000	2023/24 £'000	2024/25 £'000
Maintain the standard	14,957	13,177	11,267
Support Tenant and Residents	4,054	3,250	3,250
Provide more affordable homes	17,323	20,977	18,150
Decarbonisation	2,931	2,515	1,973
Support the delivery of CHS+	3,446	1,953	1,388
<b>TOTAL</b>	<b>42,711</b>	<b>41,872</b>	<b>36,028</b>

Financed by:	2022/23 £'000	2023/24 £'000	2024/25 £'000
Welsh Government Grant-MRA	6,225	6,225	6,225
Welsh Government Grant - Other	9,134	7,608	6,500
Direct Revenue Financing	10,000	10,000	10,000
Borrowing	17,352	18,039	13,303
<b>TOTAL</b>	<b>42,711</b>	<b>37,425</b>	<b>36,028</b>

### TREASURY MANAGEMENT

The Council produces a Treasury Management Policy and Strategy which is approved by full Council annually as part of the budget setting process. There are close links between the Capital Strategy and Treasury Management Strategy.

The capital programme determines the borrowing need of the Council, essentially the longer-term cash flow planning, to ensure that the Council can meet its capital spending obligations. This management of longer-term cash may involve arranging long or short-term loans or using longer term cash flow surpluses. On occasion any debt previously drawn may be restructured to meet Council risk or cost objectives.

### PRUDENTIAL INDICATORS

Under the Local Government Act 2003 and the Prudential Code for Capital Finance in Local Authorities (revised in 2017), local authority capital spending and its borrowing to fund that spending is limited by what is affordable, prudent and sustainable. The Prudential Code sets out several indicators that enables the authority to assess affordability and prudence.

These indicators are included in the annual Treasury Management Policy and Strategy.

### COMMERCIAL ACTIVITY

Our commercial portfolio consists of a variety of asset types, namely: Retail Units, Industrial Estates, Farms, Ground leases and Provision & livestock Markets. The portfolio generates revenue through rental receipts with opportunities to enhance income through rent reviews and renewals depending on the terms of each agreement. The Council has 20 Industrial estates located around the County with a total of around 400 units, together with 26 farms, 2 Provisions markets and 3 Livestock Markets. There are 104 Ground leases and Retail units (other than those forming part of the provisions markets).

In addition to generating a commercial return the portfolios meet corporate objectives of encouraging and supporting business and employment development, rural initiatives and town centre regeneration. In many instances the support of these broader aims is as important and income generation, and it's the Council's role to balance commercial returns with economic development objectives and corporate priorities.

Each portfolio will be managed uniquely considering its objectives; however, the underlying principle is that the Council makes the best use of its resources by increasing returns wherever possible, taking on board wider corporate priorities.

#### **RISK APPETITE**

Risk appetite can be thought of as the amount of risk an organisation is willing to accept, tolerate or be exposed to, in pursuit of its strategic and organisational objectives. The Council recognises that its appetite for different types of risks will vary and needs to reflect both its capability and its ability to exercise control.

By virtue of its statutory responsibilities for public services and associated functions, the Council often has limited choice in whether to accept or tolerate risk. Clearly there are some types of risks where the Council's tolerance will be extremely low, or risk averse, for example, those that could:

- Endanger the safety of service users, employees, members or the general public
- Damage the Council's reputation or financial standing
- Lead to breaches of laws and/or regulations
- Threaten the future operations of the Council.

In some circumstances, the Council is willing to accept a different level or type of risk in pursuit of its strategic objectives. For example, capital schemes typically invoke risks such as achievement of timescales and financial targets, management of contractors and satisfaction of service requirements.

In other areas, the Council's appetite for risk has evolved in response to the changing and challenging environment in which local government now operates. For example, in response to reductions in central government funding, the Council has been willing to consider commercial income generating ventures and invest to save proposals in

addition to service reductions and efficiencies to secure financial stability.

It is not possible to articulate the Council's appetite for every form of risk it may encounter or to predetermine which risks are acceptable or not acceptable. Instead, this strategy aims to inform and strengthen the decision-making process, to ensure that:

- Risks, as well as benefits and opportunities, are always considered, identified, and reported
- Risks are assessed and recorded consistently, in accordance with the Council's risk management methodology
- Proposals which are likely to involve higher or more challenging levels of risk, such as creation of new partnerships, investments in major projects, or commercial activities, are subject to a robust and detailed risk appraisal process
- Risks which are likely to impact the achievement of one or more corporate objectives or to carry significant financial implications are escalated to the senior management team and the Cabinet for review and approval.
- Exposure to risks for which the Council's tolerance is low, such as the examples given above, is minimised.

#### **REVENUE IMPLICATIONS**

Serious consideration is given to the implications a project will have on the revenue budget, both in the short and long term. It may be that a scheme may produce savings in terms of ongoing maintenance in some instances. In other cases, the scheme may enhance the level of service to our customers but could add to the maintenance requirements of the service in the long term, particularly in the case of additional assets. There may be a need to provide additional resources such as finance, personnel, property, or ITC equipment, or there may be efficiency savings.

### **KNOWLEDGE AND SKILLS**

The Capital and Treasury Management functions are managed by a team of professionally qualified accountants with extensive Local Government finance experience between them. They all follow a Continuous Professional Development Plan (CPD) and attend courses on an ongoing basis to keep abreast of new developments and skills.

The Council's Section 151 Officer is the officer with overall responsibility for Capital and Treasury activities and views the strategy to be prudent and affordable and fully integrated with the Council's Medium-Term Financial Plan, Treasury Management Strategy and other Strategic Plans.

All the Council's commercial projects have project teams from all the professional disciplines from across the Council and when required external professional advice is taken. The Council Members are involved at a very early stage of a project's life cycle and internal and external training is offered to members on an annual basis to ensure they have up to date skills to make capital and treasury decisions. A register is also kept on member attendance.



**PWYLLGOR CRAFFU POLISI AC ADNODDAU  
2<sup>il</sup> CHWEFROR 2022**

**ADRODDIAD MONITRO CYLLIDEB  
CYFALAF A REFENIW 2021/22**

**Ystyried y materion canlynol a chyflwyno sylwadau arnynt:**

- Bod y Pwyllgor Craffu yn derbyn yr Adroddiad Monitro Gyllideb Corfforaethol yr Awdurdod, Adroddiadau adrannol y Prif Weithredwr a'r Gwasanaethau Corfforaethol a'r Adroddiad Monitro Arbedion ac yn ystyried y sefyllfa cyllidebol.

**Y Rhesymau:**

- I ddatgan i'r Pwyllgor sefyllfa bresennol y gyllideb ar 31<sup>ain</sup> Hydref 2021, ynglyn â 2021/22.

**Angen cyfeirio'r mater at y Cabinet er mwyn gwneud penderfyniad:  
NAC OES**

**Aelodau'r Cabinet sy'n gyfrifol am y Portffolio:**

- Cyng. Emlyn Dole (Arweinydd)
- Cyng. David Jenkins (Adnoddau)
- Cyng. Ann Davies (Cymunedau a Materion Gwledig)

<p><b>Y Gyfarwyddiaeth:</b> Gwasanaethau Corfforaethol</p> <p><b>Enw Gyfarwyddwr y Gwasanaeth:</b> Chris Moore</p> <p><b>Awdur yr adroddiad:</b> Chris Moore</p>	<p><b>Swydd:</b></p> <p>Cyfarwyddwr y Gwasanaethau Corfforaethol</p>	<p><b>Rhif Ffôn / Cyfeiriad E-bost:</b></p> <p>01267 224120 <a href="mailto:CMoore@sirgar.gov.uk">CMoore@sirgar.gov.uk</a></p>
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**EXECUTIVE SUMMARY**  
**POLICY & RESOURCES SCRUTINY COMMITTEE**  
**2<sup>nd</sup> FEBRUARY 2022**

**Revenue & Capital Budget**  
**Monitoring Report 2021/22**

The Financial Monitoring report is presented as follows:

**Revenue Budgets**

**Appendix A – Authority Corporate Budget Monitoring Report**

Overall, the monitoring report forecasts an end of year underspend of £1,279k on the Authority's net revenue budget with an underspend at departmental level of £1,726k.

At a high level this is due to a combination of:

- additional COVID19 related costs and lost income being largely refunded under the Welsh Government hardship scheme
- some services still paused or impacted by lockdown measures and social distancing during Q1.
- Utilisation of some capital financing underspends, due to some significant pressure points on in-year capital project budgets, which was approved as part of a separate report.

**Appendix B**

Chief Executive and Corporate Services detailed variances for information purposes only.

**Capital Budgets**

**Appendix C – Corporate Capital Programme Monitoring 2021/22**

The current capital programme is based on information available as at the end of October 2021. Appendix C shows a forecasted net spend of £74,790k compared with a working net budget of £105,168k, giving a -£30,378k variance. The variance projected at this time relates mainly to delays with regeneration projects.

The net budget includes the original H.R.A. and General Fund capital programmes approved by Council on 3rd March and slippage from 2020/21 and, amendments approved by Cabinet on 25th October 2021. Some of the budgets have also been amended to account for differences in actual grant allocations compared with the anticipated allocations at the time the programme was approved.

**Appendix D**

Details the main variances against agreed budgets for each department.

**New Projects to note and approve for the current year:**

**Private Housing:** Additional grant has been awarded to the ENABLE programme of £338k, taking the total amount of grant for this project to £307k in 2021/22 which is 100% funding by the grant.

**Social Care:** £375k has been awarded in Intermediate Care Fund (ICF) grant funding for various projects.

**Regeneration:** As part of Westminster Government's Levelling Up programme across the United Kingdom the Carmarthen West and Pembrokeshire South bid was successful in attracting £15.86m grant funding for the Carmarthen Hub. The grant requires a match

funding from the County Council of £3.748m. This funding will be identified as part of the five-year budget setting process, however, £544k match funding is required in 2021/22 for the initial stages of the project. It is proposed to fund this from underspends within the current year and slip the variance as negative slippage to future years at the end of year.

**Environment:** The Dinefwr bid for Levelling up was also successful and awarded £16.775m to deliver the Towy Valley Path. This bid requires £1.864m match funding from the County Council which will be identified as part of the five-year budget setting process. £563k match funding is required during the current year and it is proposed to fund this from underspends on other projects and slip the variance as negative slippage to future years. As part of the current five-year programme, in-house council funding was reduced against this project as it had historically not been supported by external funds, however, a commitment was given to restore that funding should external funding materialise. Supporting the match funding for this project will deliver on that commitment.

**Education and Children:** £600k ICF grant has been awarded for the refurbishment of the residential accommodation at Rhydygors.

**Slippage to future years of the five-year capital programme.**

**Regeneration:** £20.594m of expenditure on City Deal projects to be slipped forward to future years to correlate with the construction phase.

**Environment:** £6.249m of expenditure on the fleet replacement programme. social welfare buses, refuse and highways lorries not being replaced in this financial year. The slippage will be built into future years of the five-year capital programme.

**Appendix E**

Details a full list of Chief Executive and Regeneration schemes, respectively. There are no Corporate Services schemes.

**Savings Report**

**Appendix F**

The Savings Monitoring report.

**DETAILED REPORT ATTACHED?**

**YES – A list of the main variances is attached to this report.**

## 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	YES	NONE	NONE	NONE	NONE

### 3. Finance

#### Revenue

Overall, the Authority is forecasting an underspend of £1,279k.

Policy and Resources Services are projecting to be under the approved budget by £1,440k.

#### Capital

The capital programme shows an in-year variance of -£30,378k against the 2021/22 approved budget as at 31<sup>st</sup> October 2021.

#### Savings Report

The expectation is that at year end £281k of Managerial savings against a target of £451k are forecast to be delivered. There were no Policy savings put forward.

## CONSULTATIONS

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

Signed: **Chris Moore** Director of Corporate Services

1. Local Member(s) – N/A
2. Community / Town Council – N/A
3. Relevant Partners – N/A
4. Staff Side Representatives and other Organisations – N/A

**CABINET MEMBER PORTFOLIO HOLDER(S) AWARE / CONSULTED?**  
YES

(Include any observations here)

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

List of Background Papers used in the preparation of this report:  
**THESE ARE DETAILED BELOW:**

Title of Document	File Ref No. / Locations that the papers are available for public inspection
2021/22 Budget	Corporate Services Department, County Hall, Carmarthen
2021-26 Capital Programme	Online via corporate website – Minutes of County Council Meeting 3 <sup>rd</sup> March 2021

## REPORT OF THE DIRECTOR OF CORPORATE SERVICES

## POLICY &amp; RESOURCES SCRUTINY 2nd FEBRUARY 2022

## COUNCIL'S BUDGET MONITORING REPORT 2021/22

Director and Designation	Author & Designation	Telephone No	Directorate
C Moore, Director of Corporate Services	R Hemingway, Head of Financial Services	01267 224886	Corporate Services

Table 1

Forecasted for year to 31st March 2022

Department	Working Budget				Forecasted				Oct 2021 Forecasted Variance for Year	Aug 2021 Forecasted Variance for Year
	Controllable Expenditure	Controllable Income	Net Non Controllable	Total Net	Controllable Expenditure	Controllable Income	Net Non Controllable	Total Net		
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000		
Chief Executive	33,803	-14,545	-2,517	16,740	32,388	-13,678	-2,517	16,192	-548	-342
Communities	160,332	-65,814	13,585	108,104	165,878	-71,191	13,585	108,273	169	476
Corporate Services	77,079	-45,838	-1,686	29,556	75,893	-45,543	-1,686	28,664	-892	-650
Education & Children (incl. Schools)	190,589	-34,277	23,348	179,660	208,556	-52,244	23,348	179,660	0	5
Environment	129,726	-81,094	12,759	61,390	142,953	-94,775	12,758	60,936	-455	-358
<b>Departmental Expenditure</b>	<b>591,530</b>	<b>-241,568</b>	<b>45,489</b>	<b>395,451</b>	<b>625,668</b>	<b>-277,431</b>	<b>45,488</b>	<b>393,725</b>	<b>-1,726</b>	<b>-869</b>
Capital Charges/Interest/Corporate				-20,155				-20,655	-500	-200
<b>Levies and Contributions:</b>										
Brecon Beacons National Park				152				152	0	0
Mid & West Wales Fire & Rescue Authority				10,737				10,737	0	0
<b>Net Expenditure</b>				<b>386,185</b>				<b>383,959</b>	<b>-2,226</b>	<b>-1,069</b>
Transfers to/from Departmental Reserves										
- Chief Executive				0				274	274	171
- Corporate Services				0				446	446	325
- Education & Children (incl Schools)				0				-0	-0	-5
- Environment				0				227	227	179
<b>Net Budget</b>				<b>386,185</b>				<b>384,906</b>	<b>-1,279</b>	<b>-399</b>

**Chief Executive Department**  
**Budget Monitoring - as at 31st October 2021**

POLICY & RESOURCES SCRUTINY 2nd FEBRUARY 2022

Division	Working Budget				Forecasted				Oct 2021 Forecasted Variance for Year £'000	Aug 2021 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000		
Chief Executive	846	0	-845	2	667	-2	-845	-180	-181	-163
People Management	4,499	-1,558	-2,619	322	4,876	-1,861	-2,619	396	74	24
ICT & Corporate Policy	5,956	-940	-4,780	235	5,881	-964	-4,780	137	-99	-91
Admin and Law	4,495	-849	703	4,349	4,326	-968	703	4,061	-288	-261
Marketing & Media	2,751	-696	-1,430	625	2,551	-698	-1,430	423	-201	-71
Statutory Services	1,286	-310	281	1,258	1,814	-959	281	1,137	-121	-31
Regeneration	13,970	-10,193	6,173	9,950	12,273	-8,227	6,173	10,218	268	251
<b>GRAND TOTAL</b>	<b>33,803</b>	<b>-14,545</b>	<b>-2,517</b>	<b>16,740</b>	<b>32,388</b>	<b>-13,678</b>	<b>-2,517</b>	<b>16,192</b>	<b>-548</b>	<b>-342</b>

## Chief Executive Department - Budget Monitoring - as at 31st October 2021

### Main Variances

POLICY & RESOURCES SCRUTINY 2nd FEBRUARY 2022

Division	Working Budget		Forecasted		Oct 2021 Forecasted Variance for Year £'000	Notes	Aug 2021 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Expenditure £'000	Income £'000			
<b>Chief Executive</b>							
Chief Executive-Chief Officer	237	0	206	0	-30	Savings on supplies & services	-27
Chief Executive Business Support Unit	610	0	461	-2	-151	3 vacant posts not anticipating filling this financial year & a staff member on maternity leave, £31k savings on supplies & services	-136
<b>People Management</b>							
TIC Team	233	-60	247	-60	13	1 x employee regraded with no funding	13
Business & Projects Support	262	0	230	0	-32	Savings on supplies & services	-22
Employee Well-being	775	-350	789	-302	62	Shortfall on budgeted external SLA income. Referrals have reduced from pre COVID19 levels.	36
Organisational Development	522	-39	522	-10	29	Training efficiency target not currently being met.	13
Employee Services – HR/Payroll Support	134	0	165	0	32	£16k graduate not funded, 2 x employees regraded with no funding £9k. Additional £7k agency to cover additional work done for Police/ fire pension payments	27
DBS Checks	124	0	83	-2	-43	Review of DBS checks process & budget to be undertaken	-39
Other variances					13		-4
<b>ICT &amp; Corporate Policy</b>							
Chief Executive-Policy	687	-31	588	-23	-91	3 Vacant posts for most of the year whilst team review was being completed. Restructure now complete resulting in vacant posts going out to advert imminently.	-64
Other variances					-8		-27
<b>Admin and Law</b>							
Democratic Services	1,886	-276	1,800	-318	-128	Underspend on Members pay £59k & travelling costs £43k, along with an additional £27k of income for work undertaken for the HRA	-122
Democratic Services - Support	506	0	454	-35	-87	ERW (£7k) & PCC (£7k); Posts vacant for part of year, expecting to be filled from Jan. There are also savings on supplies & services.	-67
Land Charges	136	-305	91	-281	-20	Savings on supplies & services	-33
Legal Services	1,898	-267	1,857	-259	-33	2 vacant posts during the year. Expected to be filled imminently.	-21
Central Mailing	45	0	28	-3	-20	Saving on franking machine leasing costs.	-19

## Chief Executive Department - Budget Monitoring - as at 31st October 2021

### Main Variances

POLICY & RESOURCES SCRUTINY 2nd FEBRUARY 2022

Division	Working Budget		Forecasted		Oct 2021 Forecasted Variance for Year £'000	Notes	Aug 2021 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Expenditure £'000	Income £'000			
<b>Marketing &amp; Media</b>							
Marketing and Media	373	-167	503	-119	178	Overspend on salaries pending divisional realignment. Loss of income streams from external partners (e.g. ERW £80k). Looking at alternative potential partnership arrangements	199
Translation	566	-52	464	-52	-102	Vacant post pending divisional realignment & number of staff members working reduced hours, savings on supplies & services	-91
Customer Services Centres	1,141	-353	933	-350	-205	10 vacant posts during the year, six anticipated to be filled before year end. Difficulty in filling posts currently.	-119
Yr Hwb, Rhydaman a Llanelli	191	-94	78	-53	-73	3 vacant posts pending divisional realignment offset partly by less income, due to decreased demand for desk rental space	-61
<b>Statutory Services</b>							
Registration Of Electors	170	-2	249	-94	-12	Savings on supplies & services	7
Registrars	441	-307	522	-419	-32	Additional income being generated compared to budget.	-35
Coroners	372	0	357	0	-15	Following the appointment of medical examiners by the NHS, fewer cases are being referred to the Coroner leading to less direct and indirect costs. This is partly offset by additional costs as a result of a jury inquest during the year.	36
Electoral Services - Staff	294	0	238	0	-56	2 Vacant posts pending divisional realignment	-33
Other variances					-6		-7
<b>Regeneration &amp; Property</b>							
Property	1,156	-88	1,041	-8	-35	Vacant posts due to be filled imminently, this partially offsets a shortfall in external income generated.	-12
Commercial Properties	33	-594	66	-494	133	General loss of income due to properties becoming vacant & no immediate prospect of re-letting	152
Provision Markets	596	-660	566	-515	115	General downturn in demand for stalls & consequent reduction in achievable rents. Partially offset by COVID19 income claim from WG for losses specifically attributable to COVID19.	128
Administrative Buildings	3,324	-777	3,162	-691	-76	Additional essential maintenance planned during the year. Offset by savings on utilities, as staff continue to work from home	-84
Industrial Premises	485	-1,482	358	-1,422	-67	Occupancy levels are still high despite the pandemic	-81
County Farms	76	-342	73	-315	24	Market forces dictate rent/ lease achievable.	14



**Chief Executive Department - Budget Monitoring - as at 31st October 2021**  
**Main Variances**

POLICY & RESOURCES SCRUTINY 2nd FEBRUARY 2022

Division	Working Budget		Forecasted		Oct 2021	Notes	Aug 2021
	Expenditure	Income	Expenditure	Income	Forecasted Variance for Year		Forecasted Variance for Year
	£'000	£'000	£'000	£'000	£'000		£'000
Livestock Markets	61	-213	57	-38	171	Majority of overspend relates to Nant y Ci. No rental income for 24 months for Nant y Ci as per the terms of the new agreement. Additional premises maintenance costs to obtain animal health and farm assurance licences.	137
Other variances					3		-2
<b>Grand Total</b>					<b>-548</b>		<b>-342</b>

**Department for Communities**  
**Budget Monitoring - as at 31st October 2021**

POLICY & RESOURCES SCRUTINY 2nd FEBRUARY 2022

Division	Working Budget				Forecasted				Oct 2021 Forecasted Variance for Year £'000	Aug 2021 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000		
<b>Adult Services</b>										
Older People	63,364	-22,250	3,193	44,307	62,454	-22,735	3,193	42,912	-1,395	-1,002
Physical Disabilities	7,622	-1,875	276	6,023	8,174	-2,550	276	5,900	-123	-102
Learning Disabilities	40,834	-11,098	1,282	31,018	42,010	-10,951	1,282	32,341	1,323	1,353
Mental Health	10,263	-4,107	228	6,384	10,640	-4,093	228	6,775	391	334
Support	9,498	-8,009	1,133	2,621	9,635	-8,175	1,133	2,593	-28	-100
<b>Homes &amp; Safer Communities</b>										
Public Protection	3,348	-1,248	532	2,633	3,671	-1,570	532	2,633	0	-14
Council Fund Housing	9,199	-7,996	1,021	2,224	13,141	-11,938	1,021	2,224	0	6
<b>Leisure &amp; Recreation</b>										
Leisure & Recreation	16,203	-9,230	5,922	12,895	16,153	-9,179	5,922	12,896	0	-0
<b>GRAND TOTAL</b>	<b>160,332</b>	<b>-65,814</b>	<b>13,585</b>	<b>108,104</b>	<b>165,878</b>	<b>-71,191</b>	<b>13,585</b>	<b>108,273</b>	<b>169</b>	<b>476</b>

## Department for Communities - Budget Monitoring - as at 31st October 2021

### Main Variances

POLICY & RESOURCES SCRUTINY 2nd FEBRUARY 2022

Division	Working Budget		Forecasted		Oct 2021 Forecasted Variance for Year £'000	Notes	Aug 2021 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Expenditure £'000	Income £'000			
<b>Adult Services</b>							
<b>Older People</b>							
Older People - LA Homes	8,237	-3,891	8,219	-4,359	-486	Reduced costs associated with fewer beds occupied in conjunction with support from Hardship Fund	-425
Older People - Private/ Vol Homes	25,962	-12,918	25,539	-12,918	-423	Reduced costs associated with fewer beds occupied in conjunction with support from Hardship Fund	-417
Older People - Extra Care	774	0	853	0	79	Cwm Aur contract - savings proposals in previous years only partially delivered	73
Older People - LA Home Care	7,569	0	7,565	-81	-86	Part year vacant posts	-39
Older People - Private Home Care	8,984	-2,573	8,900	-2,573	-84	Decrease in hours being commissioned by the Council because of the lack of availability of care linked to recruitment and retention issues. Also, significant funding being received from Welsh Government under the Hardship Fund to help address the pressures in the sector.	65
Older People - Enablement	1,920	-444	1,834	-444	-85	Part year vacant posts	-41
Older People - Day Services	873	-82	738	-0	-53	Reduced provision of day services due to COVID19 restrictions	-74
Older People - Private Day Services	276	0	100	0	-176	Reduced provision of day services due to COVID19 restrictions	-201
Older People - Other variances					-81		57
<b>Physical Disabilities</b>							
Phys Dis - Private/Vol Homes	1,499	-306	1,235	-306	-264	Demand led - Reduced use of residential respite care due to COVID19	-346
Phys Dis - Community Support	185	0	115	0	-70	Reduction in provision of community based services due to COVID19 restrictions	-90
Phys Dis - Direct Payments	2,634	-589	2,925	-589	291	Demand for Direct Payments increasing as a consequence of fewer alternatives during COVID19 restrictions e.g. community support and respite	291
Phys Dis - Other variances					-80		43
<b>Learning Disabilities</b>							
Learn Dis - Private/Vol Homes	11,384	-4,373	12,226	-4,373	842	Pressure remains on this budget as alternative provision is unavailable due to COVID19 restrictions. Timelines for achieving savings have slipped as many of the initiatives require face to face contact with service users and providers.	832
Learn Dis - Direct Payments	3,916	-558	4,771	-558	855	Direct Payments increasing due to demand	882
Learn Dis - Group Homes/Supported Living	10,171	-2,254	10,562	-2,254	391	Rightsizing in Supported Living ongoing but delayed due to COVID19. Accommodation and Efficiency project plans for strategic longer term future accommodation options as well as current client group has experienced delays due to COVID19.	361
Learn Dis - Day Services	2,515	-405	2,315	-370	-165	Loss of income received, staff vacancies and client taxis not used. Reduced premises and running costs as building based provision is reduced due to social distancing regulations and alternatives provided.	-129

## Department for Communities - Budget Monitoring - as at 31st October 2021

### Main Variances

POLICY & RESOURCES SCRUTINY 2nd FEBRUARY 2022

Division	Working Budget		Forecasted		Oct 2021 Forecasted Variance for Year £'000	Notes	Aug 2021 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Expenditure £'000	Income £'000			
Learn Dis - Private Day Services	1,327	-82	881	-82	-446	Day Services significantly reduced. Where care has been reassessed and alternative has been provided, the additional cost is shown as an overspend in that budget.	-470
Learn Dis - Other variances					-154		-124
<b>Mental Health</b>							
M Health - Private/Vol Homes	6,203	-3,294	6,474	-3,294	271	Pressure remains on this budget as alternative provision is unavailable due to COVID19 restrictions. Timelines for achieving savings have slipped as many of the initiatives require face to face contact with service users and providers.	135
M Health - Group Homes/Supported Living	1,265	-410	1,514	-410	249	Rightsizing in Supported Living ongoing but delayed due to COVID19. Accommodation and Efficiency project plans for strategic longer term future accommodation options as well as current client group has experienced delays due to COVID19.	236
M Health - Direct Payments	148	-44	263	-44	115	Direct Payments increasing due to demand	113
M Health - Community Support	623	-76	505	-76	-118	No payment to Hafal Dom care grant scheme	-114
M Health - Other variances					-126		-36
<b>Support</b>							
Holding Acc-Transport	1,500	-1,773	1,520	-1,886	-93	Provision of additional services to support Hywel Dda	-145
Other Variances - Support					65		45
<b>Homes &amp; Safer Communities</b>							
<b>Public Protection</b>							
PP Management support	104	-8	103	-29	-21	Under on Travel, photocopying & postages due to covid	0
PP Business Support unit	155	0	128	0	-27	Under on Travel, photocopying & postages & vacancies due to covid	0
Public Health	290	-14	276	-19	-19	Legal Fees & Internal Design de-committed for Corporate to pay	0
Noise Control	219	0	174	-0	-46	Under on salaries	-9
Animal Safety	162	0	125	-3	-40	Vacant Posts.	-20
Food Safety & Communicable Diseases	506	-38	520	-41	11	Overspend on Agency costs.	20
Financial Investigator	90	-410	171	-335	157	Delays in receipt from prosecutions	0
Other Variances					-15		-5

## Department for Communities - Budget Monitoring - as at 31st October 2021

### Main Variances

POLICY & RESOURCES SCRUTINY 2nd FEBRUARY 2022

Division	Working Budget		Forecasted		Oct 2021 Forecasted Variance for Year £'000	Notes	Aug 2021 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Expenditure £'000	Income £'000			
<b>Council Fund Housing</b>							
Penybryn Traveller Site	177	-130	179	-116	16	£27k Legal Fees & Costs	2
Temporary Accommodation	512	-110	1,797	-1,428	-33	Over achieved on Income	0
Social Lettings Agency	814	-818	844	-830	18	Additional maintenance costs	3
Other Variances					-0		1
<b>Leisure &amp; Recreation</b>							
Millennium Coastal Park	254	-138	281	-191	-26	Higher level of income achieved than budgeted	0
Pendine Outdoor Education Centre	534	-346	506	-298	20	Includes £22k R & M not budgeted	9
Pembrey Beach Kiosk	0	-42	0	-79	-37	Higher level of income achieved than budgeted	-40
St Clears Leisure Centre	151	-43	248	-42	98	Estimated cost of planned maintenance	96
Llandovery Swimming Pool	345	-239	311	-226	-22	In year staff vacancies	-33
Actif Facilities	295	0	267	0	-27	Capital recharge not budgeted £22k plus smaller expenditure underspends	-27
Actif health, fitness and dryside	199	-125	211	-165	-28	Grant award not budgeted £20k plus in year vacancy	-37
Catering - Sport Centres	346	-290	324	-290	-22	In year staff vacancies	0
PEN RHOS 3G PITCH	16	-36	8	-39	-12	Higher level of income achieved than budgeted	-16
ESD Rev Grant - Ynys Dawela	44	-43	4	-16	-12	Backdated grant award not budgeted	4
Pembrey Country Park Restaurant	422	-326	473	-338	39	Includes £40k R & M not budgeted	16
Museum of speed, Pendine	86	-26	80	0	20	Museum Development consultancy fees not budgeted	21
Museums General	150	0	214	-18	46	Unable to fully achieve vacancy factor	50
Archives General	141	-3	163	-2	23	Part year effect of new Archive Assistant not budgeted	28
Arts General	16	0	0	0	-16	Vacant post being held pending restructure	-16
St Clears Craft Centre	107	-38	63	-33	-39	In year vacancies	-28
Laugharne Boathouse	151	-114	133	-108	-12	Forecast underspend on Materials for Resale due to COVID restrictions	-11
Entertainment Centres General	468	-62	383	-24	-47	In year staff vacancies	-50
Leisure Management	439	0	456	-1	16	Tour of Britain costs	-3
Other Variances					41		37
<b>Grand Total</b>					<b>169</b>		<b>476</b>

**Corporate Services Department**  
**Budget Monitoring - as at 31st October 2021**

POLICY & RESOURCES SCRUTINY 2nd FEBRUARY 2022

Division	Working Budget				Forecasted				Oct 2021 Forecasted Variance for Year £'000	Aug 2021 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000		
Financial Services	13,576	-2,592	-856	10,128	12,898	-2,430	-856	9,611	-517	-517
Revenues & Financial Compliance	63,504	-43,246	-830	19,428	62,996	-43,113	-830	19,053	-375	-133
<b>GRAND TOTAL</b>	<b>77,079</b>	<b>-45,838</b>	<b>-1,686</b>	<b>29,556</b>	<b>75,893</b>	<b>-45,543</b>	<b>-1,686</b>	<b>28,664</b>	<b>-892</b>	<b>-650</b>

## Corporate Services Department - Budget Monitoring - as at 31st October 2021

### Main Variances

POLICY & RESOURCES SCRUTINY 2nd FEBRUARY 2022

Division	Working Budget		Forecasted		Oct 2021 Forecasted Variance for Year £'000	Notes	Aug 2021 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Expenditure £'000	Income £'000			
<b>Financial Services</b>							
Accountancy	1,748	-467	1,736	-465	-10	£34k part year net vacancies, due to be filled during the year, offset by overspends on consultant, software and subscriptions,	-26
Treasury and Pension Investment Section	265	-195	228	-212	-54	£34k part year vacancies, due to be filled during the year. £20k external SLA income from the WPP and other smaller underspends	-38
Payments	557	-77	500	-74	-55	£36k part year vacancies, due to be filled during the year. £19k savings on supplies and services	-38
Audit Fees	322	-93	281	-93	-42	A proportion of audit fees are chargeable directly to grants	-40
Bank Charges	68	0	58	0	-11	Charges reduced since introduction of new contract	-19
Miscellaneous Services	8,230	-122	7,812	-63	-359	£346k underspend on pre LGR pension costs, £13k underspend on Treasury Management costs	-335
Other variances					14		-21
<b>Revenues &amp; Financial Compliance</b>							
Procurement	611	-35	533	-35	-79	£79k part year vacancies, due to be filled during the year.	-47
Audit	487	-19	432	-35	-70	£34k part year vacancies, £21k saving on supplies and services along with £15k additional income over budget from SLA income	-26
Business Support Unit	142	0	108	0	-34	£29k part year vacancy, due to be filled during the year along with £5k savings on supplies and services	-24
Corporate Services Training	60	0	35	0	-25	Low uptake of training courses during year	-9
Council Tax Reduction Scheme	16,828	0	17,400	0	572	Increased demand since COVID19. WG contribution received for the shortfall in 2020/21, but no confirmation to date whether that will be replicated in 2021/22	572
Rent Allowances	41,323	-41,540	40,961	-41,472	-294	Predicted underspend based on anticipated payments due, anticipated reimbursement from DWP and recovery of overpayments.	-294
Rates Relief	328	0	195	0	-133	Low take-up anticipated in 2021/22	-133
Housing Benefits Admin	1,684	-752	1,279	-663	-316	A number of posts have been vacant during the year to date. Some of these will now not be filled until the new financial year. A large number of staff members are also currently on lower points of the salary scale but budgeted at the top of scale. This amounts to a saving of £403k. A £15k saving on supplies and services costs is also anticipated. This is offset by the ongoing annual reduction in admin grant received from DWP.	-173
Other variances					4		1
<b>Grand Total</b>					<b>-892</b>		<b>-650</b>

**Department for Education & Children**  
**Budget Monitoring - as at 31st October 2021**

POLICY & RESOURCES SCRUTINY 2nd FEBRUARY 2022

Division	Working Budget				Forecasted				Oct 2021 Forecasted Variance for Year £'000	Aug 2021 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000		
<b>Schools Delegated Budgets</b>	141,558	-19,748	0	121,810	146,299	-19,748	0	126,551	4,741	5,625
<b>Reserve utilisation</b>				0		-4,741		-4,741	-4,741	-5,625
Director & Strategic Management	1,829	0	-109	1,720	1,381	0	-109	1,272	-448	-801
Education Services Division	7,668	-3,074	17,981	22,575	8,674	-3,975	17,981	22,680	105	228
Access to Education	3,577	-100	1,410	4,887	10,370	-6,769	1,410	5,011	124	142
School Improvement	2,514	-523	460	2,451	3,645	-1,629	460	2,477	26	16
Curriculum & Wellbeing	8,323	-4,103	895	5,115	9,577	-5,334	895	5,138	23	133
Children's Services	25,120	-6,730	2,711	21,102	28,610	-10,048	2,711	21,273	171	289
<b>TOTAL excluding schools</b>	<b>49,031</b>	<b>-14,529</b>	<b>23,348</b>	<b>57,850</b>	<b>62,257</b>	<b>-27,754</b>	<b>23,348</b>	<b>57,851</b>	<b>0</b>	<b>5</b>
<b>GRAND TOTAL</b>	<b>190,589</b>	<b>-34,277</b>	<b>23,348</b>	<b>179,660</b>	<b>208,556</b>	<b>-52,244</b>	<b>23,348</b>	<b>179,660</b>	<b>0</b>	<b>5</b>



## Department for Education & Children - Budget Monitoring - as at 31st October 2021

### Main Variances

POLICY & RESOURCES SCRUTINY 2nd FEBRUARY 2022

Division	Working Budget		Forecasted		Oct 2021 Forecasted Variance for Year £'000	Notes	Aug 2021 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Expenditure £'000	Income £'000			
<b>Director &amp; Strategic Management</b>							
Director & Management Team	1,423	0	973	0	-450	Travel, supplies & services etc across dept savings identified towards 2022/23 efficiency requirement. This is supporting in year pressures detailed below across other service areas & has reduced from August as a result of growth budget being allocated to service areas.	-800
Other variances					2		-1
<b>Education Services Division</b>							
School Redundancy & EVR	1,925	0	2,019	0	93	Forecast based on known redundancies year to date & £100k contingency for late notifications	84
Early Years Non-Maintained Provision	1,269	-919	1,564	-1,437	-223	Grant income facilitating the release of core budget for other service in year pressures	-0
Special Educational Needs	3,998	-2,155	4,579	-2,538	197	Staffing costs for additional classes in attached units £160k & additional statements approved £530k, partially funded (-£500k) by other services having part year vacancies & utilising core budget where grant funding has been applied.	97
Sensory Impairment	361	0	405	0	44	Increased staffing required to meet demand, recruitment to be progressed once funding identified	47
Other variances					-7		-1
<b>Access to Education</b>							
School Modernisation	124	0	211	-37	50	£41k closed schools & £9k additional transport costs following school reorganisations	45
School Meals & Primary Free Breakfast Services	3,148	-100	9,768	-6,637	83	Primary school free breakfasts voluntary income shortfall £90k. Forecasts include high levels of sickness cover £200k and increasing food costs £190k, along with reduced income £100k, partially funded (-£500k) by other services having part year vacancies & utilising core budget where grant funding has been applied	93
Other variances					-9		4
<b>School Improvement</b>							
School Effectiveness Support Services	517	0	506	-16	-27	Maximising grant income for core budget to support other pressures	-11
National Model for School Improvement	805	0	897	-40	52	One off costs re ERW partially offset by part year vacant posts	26

## Department for Education & Children - Budget Monitoring - as at 31st October 2021

### Main Variances

POLICY & RESOURCES SCRUTINY 2nd FEBRUARY 2022

Division	Working Budget		Forecasted		Oct 2021 Forecasted Variance for Year £'000	Notes	Aug 2021 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Expenditure £'000	Income £'000			
<b>Curriculum and Wellbeing</b>							
Music Services for Schools	1,037	-727	1,203	-853	40	Forecast SLA income not sufficient to cover projected staffing costs - vacant posts to be reviewed for affordability	41
Education Other Than At School (EOTAS)	2,380	-150	2,765	-485	50	Increase in demand for placements at PRUs requiring additional staffing	62
Youth Offending & Prevention Service	1,769	-991	2,027	-1,302	-53	Additional Grant allocation from WG - Support for Young People in Wales, offsetting core budget to support other services areas as continue to provide reduced services in some areas & recruiting pressures due to covid challenges	4
Adult & Community Learning	631	-631	608	-624	-16	Delays in recruitment	-2
School Information Systems	320	-28	305	-28	-15	Part year vacancy	-3
Other variances					17		32
<b>Children's Services</b>							
Commissioning and Social Work	7,241	0	7,556	-209	106	Increased staffing costs forecast at this stage in the year (£281k) and overspend forecast on legal costs (£105k) - more external providers being used as a result of increased sickness levels internally and also complexity of cases, partially offset by part year vacancies across the dept (-£280k)	149
Fostering Services & Support	4,176	0	4,244	0	68	Increase in Special Guardianship Orders (SGO's)	60
Adoption Services	540	0	1,070	-474	56	Adoption costs remain high with a further increase in projected costs of inter agency fees £35k, panel member costs £21k	21
Garreglwyd Residential Unit	466	-202	1,083	-820	-0	Assumes £497k income from Hywel Dda Health Board	0
Respite Units	971	0	954	-2	-19	Recruitment delays and 1 officer partially grant funded	27
Short Breaks and Direct Payments	803	-75	969	-181	59	Overspend due to increased Direct Payments demand since change in legislation, further increase linked to COVID19 £125k and also increased demand for 1-2-1 support under Short Breaks, due to lack of available building based services £92k. This is partially offset by in year vacancy £58k & £100k efficiencies across the dept.	61
Family Aide Services	111	0	285	-208	-34	Maximisation of grant income, partially offsetting overspends elsewhere within the division	-39

## Department for Education & Children - Budget Monitoring - as at 31st October 2021

### Main Variances

POLICY & RESOURCES SCRUTINY 2nd FEBRUARY 2022

Division	Working Budget		Forecasted		Oct 2021	Notes	Aug 2021
	Expenditure	Income	Expenditure	Income	Forecasted Variance for Year		Forecasted Variance for Year
	£'000	£'000	£'000	£'000	£'000		£'000
Other Family Services incl Young Carers and ASD	509	-268	699	-484	-26	Part year vacancy (-£11k). Sessional workers, travel and activity costs for Young Carers (-£15k) as not currently running clubs or holiday activities (COVID19 guidance)	13
School Safeguarding & Attendance	398	-120	718	-505	-65	Maximisation of grant income, partially offsetting overspends elsewhere within the division	-81
Other Variances					27		78
<b>Grand Total</b>					<b>0</b>		<b>5</b>

**Environment Department**  
**Budget Monitoring - as at 31st October 2021**

POLICY & RESOURCES SCRUTINY 2nd FEBRUARY 2022

Division	Working Budget				Forecasted				Oct 2021 Forecasted Variance for Year £'000	Aug 2021 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000		
Business Support & Performance	4,219	-3,784	489	923	5,694	-5,295	489	888	-35	-2
Waste & Environmental Services	26,581	-4,590	1,364	23,355	27,697	-5,745	1,364	23,316	-39	-37
Highways & Transportation	61,720	-40,273	10,632	32,079	63,721	-42,072	10,632	32,282	203	60
Property	32,248	-30,504	-56	1,688	41,027	-39,669	-56	1,303	-385	-252
Planning	4,959	-1,944	330	3,345	4,812	-1,994	330	3,148	-198	-127
<b>GRAND TOTAL</b>	<b>129,726</b>	<b>-81,094</b>	<b>12,759</b>	<b>61,390</b>	<b>142,953</b>	<b>-94,775</b>	<b>12,758</b>	<b>60,936</b>	<b>-455</b>	<b>-358</b>

## Environment Department - Budget Monitoring - as at 31st October 2021

### Main Variances

POLICY & RESOURCES SCRUTINY 2nd FEBRUARY 2022

Division	Working Budget		Forecasted		Oct 2021 Forecasted Variance for Year £'000	Notes	Aug 2021 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Expenditure £'000	Income £'000			
<b>Business Support &amp; Performance</b>							
Emergency Planning	76	0	62	0	-14	LRF commitment covered by WG grant for 2021/22 (£11k); post not at top of budgeted scale point (£3k).	-13
Business Support	-87	-35	-103	-35	-17	A few vacant posts to be filled before year end.	-6
Departmental - Core	48	0	63	0	15	H&Wellbeing posts not budgeted for (£11k); previous year efficiency not yet delivered.	15
Departmental - Policy	6	0	-17	0	-22	Vacant post now filled	-0
Other variances					2		2
<b>Waste &amp; Environmental Services</b>							
SAB - Sustainable Drainage approval Body Unit	127	-130	115	-66	53	Anticipated income not materialised - Dependent on number of submissions and market buoyancy of development projects	63
Cleansing Service	2,700	-129	2,722	-188	-37	Vacant posts to be filled imminently following review	3
Green Waste Collection	555	-435	534	-463	-49	Increased customer base	-43
Other variances					-7		-60
<b>Highways &amp; Transportation</b>							
Design Services CHS Works	4,068	-4,329	4,368	-4,720	-91	Increased income from internal recharges reflecting work projected during the year.	-51
Property Design - Business Unit	2,848	-3,176	3,229	-3,627	-70	Increased income from internal recharges reflecting work projected during the year.	-3
Transport Strategic Planning	402	0	362	0	-40	Project Management fees recovered from grants	-0
Section 106 Transport schemes	0	0	1	-14	-14	Income received in 2021/22 for expenditure incurred in previous years	-14
School Transport	11,770	-923	12,306	-1,043	417	Additional operating days plus supply chain tender prices are increasing	0
Traffic Management	581	-70	1,049	-580	-42	Net increase in Traffic Regulation orders income	-13
Car Parks	2,068	-3,134	2,075	-3,026	116	Volume of anticipated ticket sales does not match budgeted levels	165
Nant y Ci Park & Ride	82	-34	118	-56	14	Reduced demand on the service	16
Road Safety	184	0	129	-0	-55	Underspend due to vacant post being filled part way during the year, an officer working part time and time recharged to grants	-30
School Crossing Patrols	154	0	142	-2	-14	Vacancies on some sites need to be filled.	-9
Public Rights Of Way	978	-79	945	-64	-18	Vacant posts and 1 employee working reduced hours	-0
Other variances					1		-2

## Environment Department - Budget Monitoring - as at 31st October 2021

### Main Variances

POLICY & RESOURCES SCRUTINY 2nd FEBRUARY 2022

Division	Working Budget		Forecasted		Oct 2021 Forecasted Variance for Year £'000	Notes	Aug 2021 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Expenditure £'000	Income £'000			
<b>Property</b>							
Property Division Business Unit	140	0	97	0	-43	Net effect of the transfer of the previous Head of Property post holder	-0
Property Maintenance Operational	26,918	-28,233	34,664	-36,329	-350	Increased income from internal recharges reflecting work projected during the year, including significant unexpected projects.	-251
Other variances					8		-0
<b>Planning</b>							
Planning Admin Account	352	-16	342	-58	-52	Savings on supplies and services and vacant posts including the part-year effect of the Head of Service vacancy (now filled)	-94
Building Regulations Trading - Chargeable	441	-492	411	-432	30	Shortfall in income anticipated	86
Policy-Development Planning	706	-2	572	-2	-134	£79k underspend due to staff vacancies and £55k savings on consultants fees both due to covid-related delay in the LDP process	-136
Development Management	1,693	-935	1,691	-878	55	Shortfall in income anticipated	57
Conservation	471	-13	473	-52	-37	Vacant post estimated to be filled in January 2022	-29
Net Zero Carbon Plan	129	0	88	0	-41	Vacant post estimated to be filled before year-end and savings on various fees/costs	0
Other Variances					-18		-10
<b>Grand Total</b>					<b>-455</b>		<b>-358</b>

**Policy & Resources Scrutiny Report**  
**Budget Monitoring as at 31st October 2021 - Detail Monitoring**

Division	Working Budget				Forecasted				Oct 2021 Forecasted Variance for Year £'000	Notes	Aug 2021 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000			
<b>Chief Executive</b>											
Chief Executive-Chief Officer	237	0	-260	-24	206	0	-260	-54	-30	Savings on supplies & services	-27
Chief Executive Business Support Unit	610	0	-585	25	461	-2	-585	-126	-151	3 vacant posts not anticipating filling this financial year & a staff member on maternity leave, £31k savings on supplies & services	-136
<b>Chief Executive Total</b>	<b>846</b>	<b>0</b>	<b>-845</b>	<b>2</b>	<b>667</b>	<b>-2</b>	<b>-845</b>	<b>-180</b>	<b>-181</b>		<b>-163</b>
<b>People Management</b>											
TIC Team	233	-60	-221	-47	247	-60	-221	-34	13	1 x employee regraded with no funding	13
Agile Working Project	0	0	0	0	64	-64	0	0	0		-0
SCWDP	675	-417	1	259	676	-417	1	259	-0		-0
Practice Placements	67	-67	0	-0	72	-72	0	-0	-0		-1
Health & Social Care Induction Training Pilot	0	0	0	0	95	-95	0	-0	-0		-0
Business & Projects Support	262	0	-275	-14	230	0	-275	-45	-32	Savings on supplies & services	-22
Payroll	634	-357	-285	-8	628	-345	-285	-2	6		-7
People Services – HR	1,073	-268	-786	19	1,063	-252	-786	26	7		4
Employee Well-being	775	-350	-423	2	789	-302	-423	64	62	Shortfall on budgeted external SLA income. Referrals have reduced from pre COVID19 levels.	36
Organisational Development	522	-39	-498	-15	522	-10	-498	14	29	Training efficiency target not currently being met.	13
Employee Services – HR/Payroll Support	134	0	-132	2	165	0	-132	34	32	£16k graduate not funded, 2 x employees regraded with no funding £9k. Additional £7k agency to cover additional work done for Police/ fire pension payments	27
School Staff Absence Scheme	0	0	0	0	243	-243	0	0	0		-0
DBS Checks	124	0	0	124	83	-2	0	81	-43	Review of DBS checks process & budget to be undertaken	-39
<b>People Management Total</b>	<b>4,499</b>	<b>-1,558</b>	<b>-2,619</b>	<b>322</b>	<b>4,876</b>	<b>-1,861</b>	<b>-2,619</b>	<b>396</b>	<b>74</b>		<b>24</b>
<b>ICT &amp; Corporate Policy</b>											
Information Technology	5,139	-899	-3,841	399	5,079	-839	-3,841	399	0		-4
Welsh Language	120	-11	-153	-44	113	-11	-153	-51	-7		-23
Chief Executive-Policy	687	-31	-786	-130	588	-23	-786	-221	-91	3 Vacant posts for most of the year whilst team review was being completed. Restructure now complete resulting in vacant posts going out to advert imminently.	-64
Public Services Board	5	0	0	6	5	-0	0	6	-0		0
Food Procurement Project	0	0	0	0	7	-7	0	0	0		0
Armed Forces Covenant Scheme	0	0	0	0	85	-85	0	0	0		0
Armed Forces and Remembrance	5	0	0	5	5	0	0	5	-1		0
<b>Total ICT &amp; Corporate Policy</b>	<b>5,956</b>	<b>-940</b>	<b>-4,780</b>	<b>235</b>	<b>5,881</b>	<b>-964</b>	<b>-4,780</b>	<b>137</b>	<b>-99</b>		<b>-91</b>

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Division	Working Budget				Forecasted				Oct 2021 Forecasted Variance for Year £'000	Notes	Aug 2021 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000			
<b>Admin and Law</b>											
Democratic Services	1,886	-276	2,372	3,982	1,800	-318	2,372	3,854	-128	Underspend on Members pay £59k & travelling costs £43k, along with an additional £27k of income for work undertaken for the HRA	-122
Democratic Services - Support	506	0	-494	12	454	-35	-494	-75	-87	Additional income for work undertaken for the Wales Pension Partnership (£21k), ERW (£7k) & PCC (£7k); Posts vacant for part of year, expecting to be filled from Jan. There are also savings on supplies & services.	-67
Corporate Management	0	0	296	296	0	0	296	296	0		0
Civic Ceremonial	24	0	21	45	24	0	21	45	-0		0
Land Charges	136	-305	20	-150	91	-281	20	-170	-20	Savings on supplies & services	-33
Police and Crime Commissioner	0	0	0	0	72	-72	0	0	0		0
Legal Services	1,898	-267	-1,511	120	1,857	-259	-1,511	87	-33	2 vacant posts during the year. Expected to be filled imminently.	-21
Central Mailing	45	0	1	45	28	-3	1	25	-20	Saving on franking machine leasing costs	-19
<b>Admin and Law Total</b>	<b>4,495</b>	<b>-849</b>	<b>703</b>	<b>4,349</b>	<b>4,326</b>	<b>-968</b>	<b>703</b>	<b>4,061</b>	<b>-288</b>		<b>-261</b>
<b>Marketing &amp; Media</b>											
Marketing and Media	373	-167	-213	-7	503	-119	-213	171	178	Overspend on salaries pending divisional realignment. Loss of income streams from external partners (e.g. ERW £80k). Looking at alternative potential partnership arrangements	199
Translation	566	-52	-502	13	464	-52	-502	-89	-102	Vacant post pending divisional realignment & number of staff members working reduced hours, savings on supplies & services	-91
Customer Services Centres	1,141	-353	-762	26	933	-350	-762	-179	-205	10 vacant posts during the year, six anticipated to be filled before year end. Difficulty in filling posts currently.	-119
Yr Hwb, Rhydaman a Llanelli	191	-94	8	106	78	-53	8	34	-73	3 vacant posts pending divisional realignment offset partly by less income, due to decreased demand for desk rental space	-61
Marketing Tourism Development	370	0	18	388	465	-95	18	388	0		-0
Visitor Information	61	-5	18	74	60	-5	18	74	-0		0
Events	49	-26	2	25	48	-25	2	25	-0		0
<b>Total Marketing &amp; Media</b>	<b>2,751</b>	<b>-696</b>	<b>-1,430</b>	<b>625</b>	<b>2,551</b>	<b>-698</b>	<b>-1,430</b>	<b>423</b>	<b>-201</b>		<b>-71</b>
<b>Statutory Services</b>											
Elections-County Council	9	0	129	138	3	0	129	132	-6		-7
Elections-Community Council	0	0	0	0	10	-10	0	-0	-0		-0
Elections - Police and Crime Commissioner	0	0	0	0	289	-289	0	-0	-0		0
Elections-Welsh Government	0	0	0	0	146	-146	0	0	0		0
Registration Of Electors	170	-2	243	410	249	-94	243	398	-12	Savings on supplies & services	7
Registrars	441	-307	192	326	522	-419	192	295	-32	Additional income being generated compared to budget.	-35
Comptrollers	372	0	8	380	357	0	8	365	-15	Following the appointment of medical examiners by the NHS, fewer cases are being referred to the Coroner leading to less direct and indirect costs. This is partly offset by additional costs as a result of a jury inquest during the year.	36
Electoral Services - Staff	294	0	-291	3	238	0	-291	-53	-56	2 Vacant posts pending divisional realignment	-33
<b>Statutory Services Total</b>	<b>1,286</b>	<b>-310</b>	<b>281</b>	<b>1,258</b>	<b>1,814</b>	<b>-958</b>	<b>281</b>	<b>1,137</b>	<b>-121</b>		<b>-31</b>



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Division	Working Budget				Forecasted				Oct 2021 Forecasted Variance for Year £'000	Notes	Aug 2021 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000			
<b>Regeneration &amp; Property</b>											
Regeneration Management	295	0	38	333	293	0	38	331	-2		-2
Parry Thomas Centre	32	-32	11	11	33	-33	11	11	0		-0
Betws wind farm community fund	87	-87	1	1	86	-87	1	1	-0		-0
Welfare Rights & Citizen's Advice	166	0	2	168	167	0	2	168	0		0
Llanelli Coast Joint Venture	150	-150	5	5	150	-150	5	5	-0		-0
The Beacon	154	-141	50	64	175	-161	50	64	0		-0
Business Grants	0	0	0	0	22	-22	0	0	0		0
Support Programme	0	0	0	0	16	-16	0	0	0		0
BREXIT	0	0	0	0	48	-48	0	0	0		0
Econ Dev-Rural Carmarthen, Ammanford, Town Centres	389	0	7,988	8,377	389	0	7,988	8,377	0		0
Econ Dev-Llanelli, C Hands, Coastal,Business, Inf & Ent	452	0	89	541	452	0	89	541	-0		-0
Community Development and External Funding	521	0	89	610	521	0	89	610	-0		-0
Coronavirus	0	0	0	0	6	-6	0	0	0		0
Food Hubs & Banks - Covid 19	0	0	0	0	91	-91	0	0	0		0
Kickstart DWP Employment Scheme	0	0	0	0	700	-699	0	0	0		-0
Cockle Harvesters	0	0	0	0	70	-70	0	0	0		0
Wellness	25	0	19	44	25	0	19	44	0		-0
City Deal	0	0	24	24	0	0	24	24	0		-0
Property	1,156	-88	-1,251	-183	1,041	-8	-1,251	-218	-35	Vacant posts due to be filled imminently, this partially offsets a shortfall in external income generated.	-12
Commercial Properties	33	-594	537	-25	66	-494	537	109	133	General loss of income due to properties becoming vacant & no immediate prospect of re-letting	152
Provision Markets	596	-660	373	309	566	-515	373	424	115	General downturn in demand for stalls & consequent reduction in achievable rents. Partially offset by COVID19 income claim from WG for losses specifically attributable to COVID19.	128
Operational Depots	337	0	-324	13	342	-0	-324	19	5		0
Administrative Buildings	3,324	-777	-3,129	-582	3,162	-691	-3,129	-658	-76	Additional essential maintenance planned during the year. Offset by savings on utilities, as staff continue to work from home	-84
Industrial Premises	485	-1,482	899	-98	358	-1,422	899	-165	-67	Occupancy levels are still high despite the pandemic	-81
County Farms	76	-342	425	158	73	-315	425	183	24	Market forces dictate rent/ lease achievable.	14
Livestock Markets	61	-213	3	-149	57	-38	3	22	171	Majority of overspend relates to Nant Y Ci. No rental income for 24 months for Nant Y Ci as per the terms of the new agreement. Additional premises maintenance costs to obtain animal health and farm assurance licences.	137
Externally Funded Schemes	5,631	-5,628	323	326	3,365	-3,361	323	326	-0		
<b>Regeneration &amp; Property Total</b>	<b>13,970</b>	<b>-10,193</b>	<b>6,173</b>	<b>9,950</b>	<b>12,273</b>	<b>-8,227</b>	<b>6,173</b>	<b>10,218</b>	<b>268</b>		<b>251</b>

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Division	Working Budget				Forecasted				Oct 2021 Forecasted Variance for Year £'000	Notes	Aug 2021 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000			
<b>Financial Services</b>											
Corporate Services Management Team	489	-129	-422	-62	531	-169	-422	-59	2		-12
Accountancy	1,748	-467	-1,253	28	1,736	-465	-1,253	18	-10	£34k part year net vacancies, due to be filled during the year, offset by overspends on consultant, software and subscriptions,	-26
Treasury and Pension Investment Section	265	-195	-70	0	228	-212	-70	-54	-54	£34k part year vacancies, due to be filled during the year. £20k external SLA income from the WPP and other smaller underspends	-38
Grants and Technical	343	-111	-218	14	296	-56	-218	22	8		-11
Payroll Control	91	0	-88	3	94	0	-88	6	3		3
Payments	557	-77	-457	23	500	-74	-457	-32	-55	£36k part year vacancies, due to be filled during the year. £19k savings on supplies and services	-38
Pensions	1,378	-1,314	-58	6	1,297	-1,233	-58	6	-0		0
Audit Fees	322	-93	4	233	281	-93	4	192	-42	A proportion of audit fees are chargeable directly to grants	-40
Bank Charges	68	0	1	69	58	0	1	59	-11	Charges reduced since introduction of new contract	-19
Wales Pension Partnership	84	-84	0	0	65	-65	0	0	0		0
Miscellaneous Services	8,230	-122	1,705	9,813	7,812	-63	1,705	9,453	-359	£346k underspend on pre LGR pension costs, £13k underspend on Treasury Management costs	-335
<b>Financial Services Total</b>	<b>13,576</b>	<b>-2,592</b>	<b>-856</b>	<b>10,128</b>	<b>12,898</b>	<b>-2,430</b>	<b>-856</b>	<b>9,611</b>	<b>-517</b>		<b>-517</b>
<b>Revenues &amp; Financial Compliance</b>											
Procurement	611	-35	-551	26	533	-35	-551	-53	-79	£79k part year vacancies, due to be filled during the year.	-47
Audit	487	-19	-463	5	432	-35	-463	-66	-70	£34k part year vacancies, £21k saving on supplies and services along with £15k additional income over budget from SLA income	-26
Risk Management	152	-0	-149	2	155	-0	-149	6	4		9
Business Support Unit	142	0	-81	61	108	0	-81	27	-34	£29k part year vacancy, due to be filled during the year along with £5k savings on supplies and services	-24
Corporate Services Training	60	0	-59	1	35	0	-59	-25	-25	Low uptake of training courses during year	-9
Local Taxation	945	-763	528	709	957	-776	528	709	0		-8
Council Tax Reduction Scheme	16,828	0	78	16,906	17,400	0	78	17,478	572	Increased demand since COVID19. WG contribution received for the shortfall in 2020/21, but no confirmation to date whether that will be replicated in 2021/22	572
Rep Allowances	41,323	-41,540	1,495	1,278	40,961	-41,472	1,495	985	-294	Predicted underspend based on anticipated payments due, anticipated reimbursement from DWP and recovery of overpayments.	-294
Rep Relief	328	0	5	333	195	0	5	200	-133	Low take-up anticipated in 2021/22	-133

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Division	Working Budget				Forecasted				Oct 2021 Forecasted Variance for Year £'000	Notes	Aug 2021 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000			
Housing Benefits Admin	1,684	-752	-877	55	1,279	-663	-877	-261	-316	A number of posts have been vacant during the year to date. Some of these will now not be filled until the new financial year. A large number of staff members are also currently on lower points of the salary scale but budgeted at the top of scale. This amounts to a saving of £403k. A £15k saving on supplies and services costs is also anticipated. This is offset by the ongoing annual reduction in admin grant received from DWP.	-173
Revenues	943	-136	-755	52	940	-132	-755	52	0		-0
<b>Revenues &amp; Financial Compliance Total</b>	<b>63,504</b>	<b>-43,246</b>	<b>-830</b>	<b>19,428</b>	<b>62,996</b>	<b>-43,113</b>	<b>-830</b>	<b>19,053</b>	<b>-375</b>		<b>-133</b>
<b>TOTAL FOR POLICY &amp; RESOURCES</b>	<b>110,882</b>	<b>-60,383</b>	<b>-4,203</b>	<b>46,296</b>	<b>108,281</b>	<b>-59,222</b>	<b>-4,203</b>	<b>44,856</b>	<b>-1,440</b>		<b>-993</b>

Mae'r dudalen hon yn wag yn fwiadol

<b>Capital Programme 2021/22</b>							
<b>Capital Budget Monitoring - Report for October 2021</b>							
	<b>Working Budget</b>			<b>Forecasted</b>			<b>Variance for Year</b>
<b>Department</b>	<b>Expenditure £'000</b>	<b>Income £'000</b>	<b>Net £'000</b>	<b>Expenditure £'000</b>	<b>Income £'000</b>	<b>Net £'000</b>	
<b>Public Housing</b>	40,223	-8,845	<b>31,378</b>	37,025	-9,375	<b>27,650</b>	<b>-3,728</b>
<b>Private Housing</b>	3,908	-307	<b>3,601</b>	2,598	-307	<b>2,291</b>	<b>-1,311</b>
<b>Leisure</b>	4,355	-1,261	<b>3,094</b>	2,667	-359	<b>2,308</b>	<b>-787</b>
<b>Social Care</b>	1,109	-712	<b>397</b>	804	-472	<b>332</b>	<b>-65</b>
<b>Environment</b>	35,343	-17,072	<b>18,270</b>	36,761	-19,601	<b>17,160</b>	<b>-1,110</b>
<b>Education &amp; Children</b>	27,877	-7,293	<b>20,584</b>	18,589	-6,645	<b>11,943</b>	<b>-8,641</b>
<b>Chief Executive</b>	2,544	0	<b>2,544</b>	1,786	-179	<b>1,606</b>	<b>-938</b>
<b>Regeneration</b>	40,227	-14,929	<b>25,298</b>	19,527	-8,027	<b>11,500</b>	<b>-13,799</b>
<b>TOTAL</b>	<b>155,587</b>	<b>-50,419</b>	<b>105,168</b>	<b>119,756</b>	<b>-44,966</b>	<b>74,790</b>	<b>-30,378</b>

Mae'r dudalen hon yn wag yn fwiadol

Capital Programme 2021/22							Variance for Year £'000	Comment
Capital Budget Monitoring - Report for October 2021 - Main Variances								
DEPARTMENT/SCHEMES	Working Budget			Forecasted				
	Expenditure £'000	Income £'000	Net £'000	Expenditure £'000	Income £'000	Net £'000		
<b>COMMUNITIES</b>								
- Public Housing	40,223	-8,845	31,378	37,025	-9,375	27,650	-3,728	
Sewage Treatment Works Upgrading	184	0	184	74	0	74	-110	
Internal and External Works (Property)	16,164	0	16,164	17,469	0	17,469	1,305	Acceleration of voids work.
Environmental Works (Housing Services)	380	0	380	616	0	616	236	Garages investment programme accelerated. Overspend will be covered within department.
Adaptations and Equalities Works (Building Services)	1,500	0	1,500	1,500	0	1,500	0	
Programme Delivery and Strategy	896	0	896	707	0	707	-189	Owing to staffing vacancies.
Housing Development Programme	20,900	-1,020	19,879	16,459	-1,550	14,910	-4,970	Delays at Tyisha and engineering works at other sites in addition to ongoing COVID19 related delays.
CX Housing Assets - Asset Management System	200	0	200	200	0	200	0	
MRA and IHP Grants Income	0	-7,825	-7,825	0	-7,825	-7,825	0	
- Private Housing	3,908	-307	3,601	2,598	-307	2,291	-1,311	
Disabled Facilities Grant (DFG)	3,033	0	3,033	2,000	0	2,000	-1,033	We have a further 400 enquiries that are yet to be assessed. Therefore, despite there being the demand to spend the full budget because of the available resources and contractor capacity the likely spend will be lower.
Renewal Area: Remedial Works	41	0	41	41	0	41	0	Remedial Works to be funded from Capital Receipts.
ENABLE - Adaptations to Support Independent Living	307	-307	0	307	-307	0	0	Additional award of grant from Welsh Government.
Travellers Sites	27	0	27	27	0	27	0	Funded by a revenue contribution.
Empty Properties Initiatives	500	0	500	223	0	223	-278	Project slipped to 2022/23.
- Leisure	4,355	-1,261	3,094	2,667	-359	2,308	-787	
Carmarthen Leisure Centre & Track	0	0	0	37	0	37	37	Retentions to be covered from within the capital programme.
Amman Valley Leisure Centre Masterplan	10	0	10	11	0	11	1	Project slipped to future years.
Oriol Myrddin Redevelopment	1,887	-1,000	887	200	-100	100	-787	Contractor to be appointed by December 2021. Projected start on site March 2022. Project to slip into 2022/23.
Burry Port Harbour Walls	765	0	765	765	0	765	0	
Libraries & Museums	1,422	-150	1,272	1,422	-150	1,272	0	
Country Parks	271	-111	161	232	-109	123	-37	Majority of underspend is on the Pembrey Country Park Cycling Hub and will be utilised to cover spend on other projects, mainly the new BMX pump track.
- Social Care	1,109	-712	397	804	-472	332	-65	Slip to 2022/23.
<b>TOTAL</b>								
<b>ENVIRONMENT</b>	35,343	-17,072	18,270	36,761	-19,601	17,160	-1,110	
Highways & Infrastructure	27,513	-17,072	10,441	29,449	-19,317	10,131	-310	Main slippages into 2022/23: -£291k Trebeddrod Reservoir, £166k Cross Hands Economic Link Road, -£214k Works at Nantycaws delayed because of fire. £566k Towy Valley Path match funding for Dinefwr Levelling Up Project.
Property	7,829	0	7,829	7,313	-284	7,029	-800	Slippage on works at Ty Elwyn.

Capital Programme 2021/22							Variance for Year £'000	Comment
Capital Budget Monitoring - Report for October 2021 - Main Variances								
DEPARTMENT/SCHEMES	Working Budget			Forecasted				
	Expenditure £'000	Income £'000	Net £'000	Expenditure £'000	Income £'000	Net £'000		
<b>EDUCATION &amp; CHILDREN</b>	<b>27,877</b>	<b>-7,293</b>	<b>20,584</b>	<b>18,589</b>	<b>-6,645</b>	<b>11,943</b>	<b>-8,641</b>	
21stC - Band A - Design Stage Schemes	1,363	0	1,363	222	0	222	-1,141	Delays with acquiring land for Laugharne Primary School. Slippage on Rhydygors.
21stC - Band A - WG FBC Approved Schemes	6,753	0	6,753	5,755	0	5,755	-997	Slip to future years.
21stC - Band B - Design Stage Schemes	5,274	0	5,274	1,212	0	1,212	-4,062	Slip to 2022/23
21stC - Band B - WG FBC Approved Schemes	7,524	0	7,524	4,350	0	4,350	-3,174	Slip to 2022/23 (Castell, Pum Heol and Pembrey)
Education - Equality Act Works	0	0	0	343	0	343	343	Ongoing commitment to Equalities Act works.
Dyffryn Taff Bus Bays	176	0	176	120	0	120	-57	Urgent and critical works to be undertaken from within the existing capital budget. Works will continue into 2022/23.
Infant Class Size	799	-799	0	858	-809	49	49	Covered by MEP match funding.
Welsh Language Immersion Centre (Maes y Gwendraeth)	687	-364	323	947	-364	583	260	Initial project specification changed to allow cost effective creation of additional classrooms. Additional Costs to be covered by savings on other projects.
School Buildings - Education Capital Maintenance Grants	3,174	0	3,174	3,174	0	3,174	0	Funded from displaced 2020/21 monies. Grant received in 2020/21 but authorised by WG to be applied in other areas of capital to displace funds to deliver the education maintenance project in 2021/22.
Flying Start Capital Expansion Programme	675	-675	0	665	-665	0	0	
Childcare Offer Places	620	-620	0	360	-360	0	0	
Play Opportunities Grant Projects	50	0	50	50	0	50	0	Purchase of van funded from displaced 2020/21 monies. Grant received in 2020/21 and applied in other areas.
Rhydygors Intermediate Care Project	600	-600	0	213	-213	0	0	
MEP Income - 21 <sup>st</sup> Century Schools Grant	0	-4,234	-4,234	0	-4,234	-4,234	0	
Other Projects with Minor Variances	181	0	181	319	0	319	138	Other minor projects, retentions and provision expenditure.
<b>CHIEF EXECUTIVE</b>	<b>2,544</b>	<b>0</b>	<b>2,544</b>	<b>1,786</b>	<b>-179</b>	<b>1,606</b>	<b>-938</b>	
IT Strategy Developments	1,219	0	1,219	711	-179	531	-688	Slip to 2022/23.
Purchase of Grillo Site, Burry Port	414	0	414	0	0	0	-414	Saving against the purchase of the site.
Glanamman Industrial Estate Redevelopment	818	0	818	955	0	955	137	
Rural Estates	67	0	67	74	0	74	7	Additional expenditure covered by revenue contribution.
Other Projects with Minor Variances	27	0	27	46	0	46	20	Retention works on St David's Park buildings 2 and 14 and Refurbishment works to Block 3.



Capital Programme 2021/22							Variance for Year £'000	Comment
Capital Budget Monitoring - Report for October 2021 - Main Variances								
DEPARTMENT/SCHEMES	Working Budget			Forecasted				
	Expenditure £'000	Income £'000	Net £'000	Expenditure £'000	Income £'000	Net £'000		
<b>REGENERATION</b>	<b>40,227</b>	<b>-14,929</b>	<b>25,298</b>	<b>19,527</b>	<b>-8,027</b>	<b>11,500</b>	<b>-13,799</b>	
Swansea Bay City Region Projects	5,721	-5,521	200	3,089	-2,889	200	0	Majority of spend expected in 2022/23. Budget slipped to future years.
County Wide Regeneration Funds	6,972	-1,500	5,472	1,546	-750	796	-4,676	Delays on grants to third parties due to impact of COVID19 on project delivery timeframes. Project to slip to 2022/23.
Cross Hands East Strategic Employment Site Phase 1	668	0	668	668	0	668	0	
Cross Hands East Phase 2	513	-202	311	558	-301	257	-54	
Cross Hands East Plot 3 Development	7,335	-3,970	3,366	529	-429	100	-3,266	Construction expected to start in February 2022. Slip to 2022/23.
Valleys Town Centres	122	-122	0	65	-64	0	0	
Carmarthen Town Regeneration - Jacksons Lane	21	0	21	53	-33	21	0	
Carmarthen Old Town Quarter	702	0	702	150	0	150	-552	Detailed design to follow Greening Infrastructure masterplan outcome.
Pendine Iconic International Visitors Destination	2,846	-130	2,716	2,221	-130	2,091	-625	Currently in discussion with insurance company regarding storm damage claim, and in discussion with new contractor following contractor failure. Works will continue into the next financial year.
Llandeilo Market Hall	3,586	-821	2,764	2,255	-821	1,434	-1,331	Completion expected September 2022.
Ammanford Regeneration Development Fund	299	0	299	127	0	127	-171	Progress delays on third party schemes due to COVID19. Slipped to 2022/23.
Ammanford Town Centre Regeneration	21	0	21	21	-18	4	-18	
Levelling Up Fund Projects	0	0	0	2,920	-2,375	544	544	Carmarthenshire West and Pembrokeshire South Levelling up. Covered from underspends in other projects in 2021/22. Negative Slippage to future years.
Town Centre Loan Scheme	1,400	0	1,400	1,400	0	1,400	0	Loan will be let this financial year for the Linc Llanelli. Funding already received from the Welsh Government.
TRI Strategic Projects - Market Street North	1,811	0	1,811	68	0	68	-1,744	Project called in by Welsh Government planning division.
TRI Strategic Projects - Former YMCA Building, Stepney Street, Llanelli	1,868	0	1,868	3,169	0	3,169	1,301	Funded by Strategic TRI allocation.
Transforming Town Centres Strategic Projects	4,211	-2,500	1,711	0	0	0	-1,711	Slip to 2022/23. External funding will be drawn down in advance of CCC monies that will be required in future years.
Tudalen 105 Business Support for Renewable Energy Initiatives	500	0	500	0	0	0	-500	Slip to 2022/23. Grant Programme to be launched in February 2022.
Ten Towns Growth Plan	1,000	0	1,000	0	0	0	-1,000	Slip to 2022/23. Expressions of interest to town and community councils being worked up.
Other Projects	632	-163	469	689	-218	471	2	Llanelli JV.
<b>TOTAL</b>	<b>155,587</b>	<b>-50,419</b>	<b>105,168</b>	<b>119,756</b>	<b>-44,966</b>	<b>74,790</b>	<b>-30,378</b>	

Mae'r dudalen hon yn wag yn fwiadol

# Chief Executive

## Capital Budget Monitoring - Scrutiny Report For October 2021

Scheme	Target Date for Completion	Working Budget			Forecasted		
		Expenditure £'000	Income £'000	Net £'000	Expenditure £'000	Income £'000	Net £'000
<b>Acquisitions of County Buildings</b>		414	0	414	0	0	0
Purchase of Grillo Site, Burry Port	Complete	414	0	414	0	0	0
<b>Agile Working</b>		0	0	0	0	0	0
Agile Working Projects		0	0	0	0	0	0
<b>St David's Park</b>	<b>Complete</b>	27	0	27	46	0	46
St David's Block 2		13	0	13	13	0	13
St David's Block 3		10	0	10	30	0	30
St David's Park - Building 14		3	0	3	3	0	3
<b>IT Strategy Developments</b>	<b>Ongoing</b>	1,219	0	1,219	711	-179	531
Digital Transformation		380	0	380	356	0	356
PSBA Network		86	0	86	37	0	37
Strategic Digital Initiatives		100	0	100	73	0	73
Corporate Wifi Environment/Meraki Broadband Hardware		224	0	224	44	0	44
Data Centre and Power		14	0	14	14	0	14
Voice Infrastructure		139	0	139	30	0	30
HWB for Schools Infrastructure Grant		226	0	226	107	-179	-72
Information Security and Governance		50	0	50	50	0	50
<b>Rural Estates Capital Schemes</b>	<b>Mar'22</b>	67	0	67	74	0	74
House Improvements - Farms		67	0	67	74	0	74
Other Outbuildings Improvements - Farms		0	0	0	0	0	0
<b>Industrial Redevelopments</b>	<b>Mar'22</b>	818	0	818	955	0	955
Glanamman Industrial Estate Redevelopment		818	0	818	955	0	955
<b>NET BUDGET</b>		<b>2,544</b>	<b>0</b>	<b>2,544</b>	<b>1,786</b>	<b>-179</b>	<b>1,606</b>

Variance for Year £'000	Comment
-414	
-414	Funding no longer needed for purchase.
0	
0	
20	
0	
20	Slip to future years. £1.3m approved for 2022/23.
0	
-688	Slip to 2022/23.
-24	
-49	Waiting for outcome of new ways of working.
-27	
-180	
0	
-109	
-298	
0	
7	
7	Revenue Contribution.
0	
137	Retention. Slip to 2022/23.
137	
-938	



# Regeneration

## Capital Budget Monitoring - Scrutiny Report For October 2021

Scheme	Target Date for Completion	Working Budget			Forecasted		
		Expenditure £'000	Income £'000	Net £'000	Expenditure £'000	Income £'000	Net £'000
Ammanford Regeneration Development Fund	Ongoing	299	0	299	127	0	127
Llandeilo Market Hall	Dec '22	3,586	-821	2,764	2,255	-821	1,434
Carmarthen Old Town Quarter Regeneration	Ongoing	702	0	702	150	0	150
<b>Leveling Up Projects</b>	<b>Ongoing</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>2,920</b>	<b>-2,375</b>	<b>544</b>
Levelling Up Carmarthen West and South Pembro		0	0	0	2,920	-2,301	618
Levelling Up Future Years		0	0	0	0	-74	-74
<b>Town Centre Loan Scheme</b>	<b>Mar'22</b>	<b>1,400</b>	<b>0</b>	<b>1,400</b>	<b>1,400</b>	<b>0</b>	<b>1,400</b>
Town Centre Loan Scheme (TCLS) - Y Linc Llanelli		1,400	0	1,400	1,400	0	1,400
<b>Transforming Towns Strategic Projects (formerly known as TRI)</b>		<b>8,187</b>	<b>-2,500</b>	<b>5,687</b>	<b>3,590</b>	<b>-55</b>	<b>3,536</b>
TRI Strategic Projects - Market Street North	Ongoing	1,811	0	1,811	68	0	68
TRI Strategic Projects - Former YMCA Building, Stepney Street, Llanelli	Ongoing	1,868	0	1,868	3,169	0	3,169
TRI Strategic Projects - Llanelli Goods Shed / Community Hub	Nov '22	98	0	98	150	-50	100
Transforming Towns (Green Infrastructure & Biodiversity) - Llanelli Library Green Wall		0	0	0	5	-5	0
Transforming Towns (Green Infrastructure & Biodiversity) - Carregamman Car Park Enhancements		199	0	199	199	0	199
TRI Strategic Projects	Ongoing	4,211	-2,500	1,711	0	0	0
<b>Business Support for Renewable Energy Initiatives</b>	<b>Ongoing</b>	<b>500</b>	<b>0</b>	<b>500</b>	<b>0</b>	<b>0</b>	<b>0</b>
Business Support for Renewable Energy Initiatives		500	0	500	0	0	0
<b>Ten Town Growth Plan</b>	<b>Ongoing</b>	<b>1,000</b>	<b>0</b>	<b>1,000</b>	<b>0</b>	<b>0</b>	<b>0</b>
Ten Town Growth Plan		1,000	0	1,000	0	0	0
<b>Place Making</b>	<b>Ongoing</b>	<b>50</b>	<b>-35</b>	<b>15</b>	<b>50</b>	<b>-35</b>	<b>15</b>
Digital Infrastructure		50	-35	15	50	-35	15
<b>NET BUDGET</b>		<b>40,227</b>	<b>-14,929</b>	<b>25,298</b>	<b>19,527</b>	<b>-8,027</b>	<b>11,500</b>

Variance for Year £'000	Comment
-171	Delays because of changes to state aid rules following Brexit.
-1,331	Slip to 2022/23.
-552	Slip to future years. Detailed design following masterplan outcome.
544	
618	Covered from underspends in other projects in 2021/22. Negative Slippage.
-74	
0	
0	Loan will be let this financial year for the Linc Llanelli.
-2,151	Slip to 2022/23,
-1,744	Called in by Welsh Government planning division. Likely to slip to future years.
1,301	
2	
0	
0	
-1,711	Slip to 2022/23. To be applied against projects in the Transforming Towns Programme.
-500	Slip to 2022/23. Grant Programme to be launched in the second half of the financial year.
-500	
-1,000	Slip to 2022/23.
-1,000	
0	
0	
-13,799	

Mae'r dudalen hon yn wag yn fwiadol

**2021/22 Savings Monitoring Report**  
**Policy & Resources Scrutiny Committee**  
**2nd February 2022**

1 Summary position as at : 31st October 2021

£170 k variance from delivery target

	2021/22 Savings monitoring		
	2021/22	2021/22	2021/22
	Target	Delivered	Variance
	£'000	£'000	£'000
	Chief Executive	451	281
Corporate Services	0	0	0
	<b>451</b>	<b>281</b>	<b>170</b>

2 Analysis of delivery against target for managerial and policy decisions:

Managerial  
Policy

£170 k Off delivery target  
£0 k ahead of target

	MANAGERIAL			POLICY		
	2021/22	2021/22	2021/22	2021/22	2021/22	2021/22
	Target	Delivered	Variance	Target	Delivered	Variance
	£'000	£'000	£'000	£'000	£'000	£'000
	Chief Executive	451	281	170	0	0
Corporate Services	0	0	0	0	0	0
	<b>451</b>	<b>281</b>	<b>170</b>	<b>0</b>	<b>0</b>	<b>0</b>

3 Appendix F (i) : Savings proposals not on target

Appendix F (ii) : Savings proposals on target (for information)

DEPARTMENT	2020/21 Budget	FACT FILE	2021/22 Proposed	2021/22 Delivered	2021/22 Variance	EFFICIENCY DESCRIPTION	REASON FOR VARIANCE
	£'000		£'000	£'000	£'000		
<b>Managerial - Off Target</b>							
<b>Chief Executive</b>							
People Management division	2,947	Includes Payroll, People Services, Organisational Development, Employee Wellbeing , HR Development Team, Business and Project Support	88	0	88	£40k service review/regional working; £20k income generation provision of People Management services; £28k review of training provision (part 1).	Service, income and Training reviews yet to be completed
Regeneration division	3,475	Regeneration is a key priority for the council. The Division provides Business, employability, grant funding and skills support and advice. We also deliver physical regeneration projects throughout the county, including the Swansea Bay City Deal Pentre Awel Life Science and Wellness Village planned for Delta Lakes. The Regeneration Division is responsible for the management of land assets (those within the economic/commercial portfolio) of the Council, taking a strategic commercial view to ensure the portfolio is managed to meet the Council's economic development needs. The Division is also responsible for the delivery of the Council's Net Zero Carbon agenda.	20	0	20	Income Generation	Scope to generate additional income is reduced during the pandemic. It is anticipated however that this will be delivered as normality returns.
Marketing & Media	2,015	Business Unit comprising of translation, marketing and tourism, contact centres, customer services, press and communications.	62	0	62	Relocation of Tourist Information Centre from Castle House. Reduction in supplies & services.	Savings will potentially be incorporated into current service review which is nearing completion.
<b>Chief Executive Total</b>			<b>170</b>	<b>0</b>	<b>170</b>		

**Policy - Off Target**

NOTHING TO REPORT



DEPARTMENT	2020/21 Budget	FACT FILE	2021/22 Proposed	2021/22 Delivered	2021/22 Variance	EFFICIENCY DESCRIPTION
	£'000		£'000	£'000	£'000	

### Managerial - On Target

#### Chief Executive

Chief Executive	259	Office of the Chief Executive and secretariat	4	4	0	Reduction in supplies / postages
Information Technology	3,915	ICT Services underpins and contributes towards all that the Council delivers both internally as an organisation and externally to service users and communities, independently or in partnership. It is a vital function providing innovative opportunities for improving services and achieving our priorities in an efficient and effective way. IT Services is pivotal as an enabler of change and a vehicle for driving forward transformational improvement to all services. As we continually strive to deliver our solutions in an efficient manner and in line with our key Digital Strategies (Digital Transformation Strategy, Digital Technology Strategy, Digital Schools Strategy) our major savings in future years however will have to be found from our staffing budget. The work the service does significantly contribute to financial savings being delivered from revenue budgets held across the Authority by other service areas.	121	121	0	£73k This will be delivered by further streamlining the software solutions used and reduction in annual maintenance costs through exploiting the Microsoft Enterprise Agreement. £27k - Further improvements work will be carried out by ICT Services on the Corporate network that should deliver increased revenue savings. £21k - further reduction in operations costs.
Corporate Policy	818	Policy & Partnership team deal with Council policy (in relation to Welsh language, sustainable development, equalities and tackling poverty), consultation & engagement with elected members and public, data & information, and public service collaboration through the Local Service Board (to be a statutory requirement) and related strategic partnerships	39	39	0	£20k reduction in grants; £3k reduction in postages; £16k this will be delivered by taking a different approach to the way projects are undertaken within Corporate Policy.
Regeneration division	3,475	Regeneration is a key priority for the council. The Division provides Business, employability, grant funding and skills support and advice. We also deliver physical regeneration projects throughout the county, including the Swansea Bay City Deal Pentre Awel Life Science and Wellness Village planned for Delta Lakes. The Regeneration Division is responsible for the management of land assets (those within the economic/commercial portfolio) of the Council, taking a strategic commercial view to ensure the portfolio is managed to meet the Council's economic development needs. The Division is also responsible for the delivery of the Council's Net Zero Carbon agenda.	98	98	0	Service review.
Statutory services / Coroners	384	The Coroner is an independent Judicial Officer and discharges his duties in accordance with the Coroners Act 1988. He has a duty to investigate deaths reported to him where he has reasonable cause to suspect that the death was violent, unnatural or of unknown cause or which occurs in prison.	19	19	0	Reduction in staffing costs
<b>Chief Executive Total</b>			<b>281</b>	<b>281</b>	<b>0</b>	

### Policy - On Target

NOTHING TO REPORT

Mae'r dudalen hon yn wag yn fwriadol

## Pwyllgor Craffu Polisi ac Adnoddau 2ail Chwefror 2022

### POLISI RHEOLI'R TRYSORLYS A STRATEGAETH 2022-23

#### Ystyried y materion canlynol a chyflwyno sylwadau arnynt:

Ystyried cynnwys yr adroddiad oherwydd y bydd rôl craffu'r Pwyllgor ynghylch gweithgarwch a swyddogaeth yn ystod y flwyddyn nesaf, wedi ei selio ar y wybodaeth yma.

#### Y Rhesymau:

Er mwyn cydymffurfio ag adolygiad Cod Darbodaeth CIPFA ac adolygiad Cod Ymarfer CIPFA o ran Rheoli'r Trysorlys 2017.

I gymeradwyo Strategaeth Rheoli'r Trysorlys ar gyfer 2022-23, sy'n cynnwys Dangosyddion Rheoli'r Trysorlys, Dangosyddion Darbodus, y Datganiad MRP, y Strategaeth Fuddsoddi a'r argymhellion sydd ynddynt.

Angen cyfeirio'r mater at y Bwrdd Gweithredol / Cyngor er mwyn gwneud penderfyniad: OES

YR AELOD O'R CABINET SY'N GYFRIFOL AM Y PORTFFOLIO:- Cllr. D.M. Jenkins

#### Y Gyfarwyddiaeth:

Enw Pennaeth y Gwasanaeth:  
Randal Hemingway

Swydd: Pennaeth Gwasanaethau  
Ariannol

Rhif ffôn: 01267 224886

Cyfeiriad E-bost:  
RHemingway@sirgar.gov.uk

Awdur yr Adroddiad: Anthony Parnell

Swydd: Rheolwr Pensiwn a  
Buddsodiadau Gyllidol

Rhif ffôn: 01267 224180

Cyfeiriadau E-bost:  
AParnell@sirgar.gov.uk

**EXECUTIVE SUMMARY  
POLICY AND RESOURCES SCRUTINY COMMITTEE  
2/02/2022**

**TREASURY MANAGEMENT POLICY AND STRATEGY 2022-23**

**1. BRIEF SUMMARY OF PURPOSE OF REPORT.**

The attached report provides members with a copy of the proposed Treasury Management Policy and Strategy 2022-23.

As per the revised CIPFA Code of Practice on Treasury Management 2017, the Council is required to maintain a Treasury Management Policy which states the policies and objectives of the Authority's treasury management activities and to have its Treasury Management Policy & Strategy approved annually before the start of the financial year.

Section B (1.1 (Clause 4)) in the attached Treasury Management Policy and Strategy 2022-23 nominates the Policy and Resources Scrutiny Committee to be responsible for ensuring effective scrutiny of the treasury management strategy and policies.

Section D (9) of the strategy includes a section on member and officer training. This Council has addressed this important issue by:

- Reviewing the treasury management function and ensuring officers are suitably qualified.
- Arranging external training for officers.
- Arranging on-going training for those members charged with governance of the treasury management function.

This strategy is brought to this Committee before consideration at Cabinet on 21st February 2022 and County Council on 2nd March 2022.

The Treasury Management Policy and Strategy 2022-23 and the appendices are attached.

**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: **R Hemingway**

Head of Financial Services

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

### 1. Policy, Crime & Disorder and Equalities

Council has adopted the revised CIPFA Code of Practice on Treasury Management, one of the requirements is that an annual Treasury Management Policy and Strategy be approved by Council before the commencement of the year to which it relates.

### 2. Legal

Under the Local Government Act 2003 and the revised CIPFA Code of Practice on Treasury Management, local authorities must set out their Treasury Management Indicators that relate to the Authority's capital spending and its borrowing.

### 3. Finance

The Treasury Management Policy and Strategy details the procedures that the Authority adheres to in managing its treasury management function.

Interest paid and earned has a direct impact on the Authority's Revenue Budget. The estimated projections are included in the Budget which is to be presented to Council on 2nd March 2022.

## CONSULTATIONS

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

Signed: **R Hemingway**

Head of Financial Services

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

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

3. Relevant Partners **N/A**

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

**CABINET MEMBER PORTFOLIO  
HOLDER(S) AWARE/CONSULTED**  
**YES/NO \* Delete as appropriate**

**N/A**

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

**THESE ARE DETAILED BELOW**

Title of Document	File Ref No.	Locations that the papers are available for public inspection
The Local Government Act 2003		County Hall, Carmarthen
Guidance issued by Welsh Government		County Hall, Carmarthen
Revised CIPFA Treasury Management Code of Practice and Cross-Sectoral Guidance Notes		County Hall, Carmarthen
Revised CIPFA Prudential Code for Capital Finance in Local Authorities		County Hall, Carmarthen

**MEETING OF THE POLICY AND RESOURCES SCRUTINY COMMITTEE  
DATE: 2<sup>ND</sup> FEBRUARY 2022**

**REPORT OF THE DIRECTOR OF CORPORATE SERVICES**

**TREASURY MANAGEMENT POLICY AND STRATEGY 2022-2023**

**A. INTRODUCTION**

This Council carries out its treasury management activities in accordance with the Prudential Code of Practice first developed for public services in 2002 by the Chartered Institute of Public Finance and Accountancy (CIPFA). This Code was last revised in 2017. The Council also carries out its treasury management activities in accordance with the CIPFA Treasury Management Code of Practice 2017.

CIPFA published the revised 2021 Treasury Management Code and Prudential Code on 20<sup>th</sup> December 2021 and has stated that formal adoption is not required until 2023-24 financial year. Members will be updated on how any changes to the Codes will impact our current approach and any changes required will be formally adopted within the 2023-24 Treasury Management Policy and Strategy.

The revised Code identifies three key principles:

1. The Council should put in place formal and comprehensive objectives, policies and practices, strategies and reporting arrangements for the effective management and control of their treasury management activities.
2. The Council's policies and practices should make clear that the effective management and control of risk are prime objectives of their treasury management activities and that responsibility for these lies clearly within their Council. The Council's appetite for risk should form part of its annual strategy and should ensure that priority is given to security and liquidity when investing funds.
3. The Council should acknowledge that the pursuit of value for money in treasury management, and the use of suitable performance measures, are valid and important tools for responsible Councils to employ in support of their business and service objectives; and that within the context of effective risk management, the Council's treasury management policies and practices should reflect this.

## **B. CIPFA PRUDENTIAL CODE AND CIPFA TREASURY MANAGEMENT CODE OF PRACTICE**

1. This Council has adopted the Revised CIPFA Prudential Code 2017 and the Revised CIPFA Treasury Management Code of Practice 2017.

This Revised CIPFA Treasury Management Code of Practice 2017 stipulates that there should be Member scrutiny of the treasury policies, Member training and awareness and regular reporting.

The objectives of the Revised Prudential Code 2017 are to ensure, within a clear framework, that the capital expenditure plans of local authorities are affordable, prudent and sustainable, and that treasury management decisions are taken in accordance with good professional practice and in full understanding of the risks involved and how these risks will be managed to levels that are acceptable to the organisation.

The Council has adopted the four clauses shown in 1.1 as part of its financial procedure rules and the Policy and Resources Scrutiny Committee is responsible for ensuring effective scrutiny of the treasury management strategy and policies, before making recommendations to Council.

The policies and parameters within this report provide an approved framework within which the officers undertake the day-to-day treasury activities.

- 1.1 The four clauses adopted are:

- (1) This Council will create and maintain, as the cornerstones for effective treasury management:

- A treasury management policy statement, stating the policies, objectives and approach to risk management of its treasury management activities
- Suitable Treasury Management Practices (TMPs), setting out the manner in which the Council will seek to achieve those policies and objectives, and prescribing how it will manage and control those activities

- (2) The Council is required to receive and approve, as a minimum, three main reports each year, which incorporate a variety of policies, estimates and actuals.

This Council will therefore receive reports on its treasury management policies, practices and activities, including an annual strategy in advance of the year, a mid year review report and a year end annual report, in the form prescribed in its TMPs. This treasury management policy and strategy report includes the prudential indicators (Appendix D) and the minimum revenue provision (MRP) policy (Appendix E).

- (3) This Council delegates responsibility for the implementation and monitoring of its treasury management policies and practices, and the quarter 1 and quarter 3 monitoring reports to the Executive Board, and for the execution and administration of treasury management decisions.



to the Director of Corporate Services, who will act in accordance with the Council's policy statement and TMPs and CIPFA's Standard of Professional Practice on Treasury Management.

- (4) The Council nominates the Policy and Resources Scrutiny Committee to be responsible for ensuring effective scrutiny of the treasury management strategy and policies.

## 1.2 **Treasury Management Practices (TMPs)**

The Schedule of TMPs is shown in Appendix A.

## **C. TREASURY MANAGEMENT POLICY**

1. This Council defines its Treasury Management activities as:

The management of the Council's borrowing, investments and cash flows, its banking, money market and capital market transactions and the effective control of the risks associated with those activities, and the pursuit of optimum performance consistent with those risks.

'Investments' in the definition above covers all the financial assets of the organisation, as well as other non-financial assets (including loans and other non-specified investments) which the organisation holds primarily for financial returns, such as investment property portfolios. This may therefore include investments which are not managed as part of normal treasury management or under treasury management delegations. All investments require consideration of appropriate investment management and the risk management framework under this Revised CIPFA Treasury Management Code of Practice 2017.

2. This Council regards the successful identification, monitoring and control of risk to be the prime criteria by which the effectiveness of its treasury management activities will be measured. Accordingly, the analysis and reporting of treasury management activities will focus on their risk implications for the Council.

The key principle of control of risk and optimising returns consistent with the organisation's risk appetite should be applied across all investment activities, including more commercially based investments.

3. This Council acknowledges that effective treasury management will provide support towards the achievement of its business and service objectives. It is therefore committed to the principles of achieving value for money in treasury management and to employing suitable comprehensive performance measurement techniques, within the context of effective risk management.

This policy holds indefinitely until circumstances dictate that a change is necessary. Any changes must be done before the beginning of the financial year to which it relates, or in exceptional circumstances within the year if approved by Council.

It is the Director of Corporate Services responsibility to implement and monitor the Treasury Management Policy, revising and re-submitting the Policy for consideration to the Executive Board and the Council if changes are required.

## **D. TREASURY MANAGEMENT STRATEGY 2022-2023**

### **1. INTRODUCTION**

- 1.1 The Treasury Management Strategy provides details of the expected activities of the Treasury Management function in the financial year 2022-23.
- 1.2 The Council's financial procedure rules require an annual strategy to be reported to Council outlining the expected treasury activity for the forthcoming year. A key requirement of this report is to explain both the risks, and the management of the risks, associated with the treasury service. Further treasury reports will be produced during the year if the strategy needs updating and a year-end annual report on actual activity for the year.
- 1.3 The strategy covers:
  - Treasury Indicators and Limits on Activity
  - Prospects for interest rates
  - Borrowing Strategy
  - Investment Strategy
  - Debt Rescheduling and Premature Repayment of Debt
  - Performance Indicators
  - Treasury Management Advisers
  - Member and Officer Training

### **2. TREASURY INDICATORS AND LIMITS ON ACTIVITY**

- 2.1 Under the Local Government Act 2003 and the Prudential Code for Capital Finance in Local Authorities (revised in 2017), local authority capital spending and its borrowing to fund that spending is limited by what is affordable, prudent and sustainable. The Prudential Code sets out a number of indicators that enables the authority to assess affordability and prudence. The Prudential Indicators that related to Treasury Management were reclassified as Treasury Indicators in recent revisions of the Codes and are:
  - Upper Limit for Fixed Rate Exposure
  - Upper Limit for Variable Rate Exposure
  - Limits on the Maturity Structure of Borrowing
  - Limits on Total Principal Sums Invested Long Term

The Prudential Code also requires that the total external debt does not exceed the Authorised Limit for external debt and only exceeds the Operational Boundary for external debt temporarily on occasions due to variation in cash flow. Full Council when approving the Budget sets the Authorised Limit and the Operational Boundary.

2.2 The Treasury Management Indicators for 2022-23 are:

2.2.1 Interest rate exposure limits for 2022-23 are estimated as follows:

Estimated Average Position for 2022-23			
	Fixed Interest Rate	Variable Interest Rate	Total
	£m	£m	£m
Borrowed	+470	+3	+473
Invested	(40)	(35)	(75)
<b>Net Debt</b>	<b>+430</b>	<b>(32)</b>	<b>+398</b>
<b>Proportion of Total Net Debt</b>	<b>+108%</b>	<b>(8%)</b>	<b>+100%</b>

It is recommended that the following maximum exposure limits are adopted:

	Fixed Interest Rate	Variable Interest Rate
<b>Proportion of Total Net Debt</b>	<b>+125%</b>	<b>+5%</b>

2.2.2 It is recommended that the following exposure limits for 2022-23, 2023-24 and 2024-25 are adopted:

Interest Rate Exposures	2022-23	2023-24	2024-25
	Upper	Upper	Upper
	£m	£m	£m
<b>Limits on fixed interest rates based on net debt</b>	<b>507</b>	<b>535</b>	<b>536</b>
<b>Limits on variable interest rates based on net debt</b>	<b>51</b>	<b>54</b>	<b>54</b>

2.2.3 It is recommended that the Council sets upper and lower limits for the maturity structure of its borrowing as follows:

	Upper Limit	Lower Limit
<b>Under 12 months</b>	<b>15%</b>	<b>0%</b>
<b>12 months to 2 years</b>	<b>15%</b>	<b>0%</b>
<b>2 years to 5 years</b>	<b>50%</b>	<b>0%</b>
<b>5 years to 10 years</b>	<b>50%</b>	<b>0%</b>
<b>10 years to 20 years</b>	<b>50%</b>	<b>0%</b>
<b>20 years to 30 years</b>	<b>50%</b>	<b>0%</b>
<b>30 years to 40 years</b>	<b>50%</b>	<b>0%</b>
<b>40 years and above</b>	<b>50%</b>	<b>0%</b>

## 2.2.4 Maximum principal sums invested longer than 365 days:

	2022-23	2023-24	2024-25
	£m	£m	£m
<b>Maximum principal sums invested longer than 365 days</b>	<b>10</b>	<b>10</b>	<b>10</b>

## 3. PROSPECTS FOR INTEREST RATES

Based on the average projection from a number of sources we can expect the trend in the Bank Rate, set by the Monetary Policy Committee, over the next three years to be as follows:

	Current	2022-23	2023-24	2024-25
	%	%	%	%
Average Bank Rate	0.25	0.56	0.81	1.06

## 4. BORROWING STRATEGY 2022-23 – 2024-25

4.1 With inflation expected to peak at around 6% in April 2022, the MPC may want to be seen to be active in taking action to counter inflation on 5th May 2022, the release date for its Quarterly Monetary Policy Report. The December 2021 MPC meeting was more concerned with combating inflation over the medium term than supporting economic growth in the short term. Bank Rate increases beyond May 2022 are difficult to forecast as inflation is likely to drop sharply in the second half of 2022.

There is expected to be a steady but slow rise in PWLB rates over the next few years, though there will be a lot of unpredictable volatility during this forecast period.

The uncertainty over future interest rates increases the risks associated with treasury activity. As a result the Council will continue to take a cautious approach to its treasury management strategy.

Against this background and the risks within the economic forecast, caution will be adopted with the 2022-23 treasury operations. The Director of Corporate Services will monitor interest rates in financial markets and adopt a pragmatic approach to changing circumstances.

The Director of Corporate Services, under delegated powers, will take the most appropriate form of borrowing depending on the prevailing interest rates at the time, taking into account the risks shown in the forecast above.

The option of delaying borrowing and utilising investment balances is likely to continue for the time being. However, this will be carefully reviewed to avoid incurring higher borrowing costs in later years due to an overall current trend of rising rates. This strategy reduces counterparty risk and hedges against any expected fall in investment returns.

The Council continues to maintain an under-borrowed position. This means that the capital borrowing need (the Capital Financing Requirement), has not been fully funded with loan debt as cash supporting the Council's reserves, balances and cash flow has been used as a temporary measure. This strategy is prudent as investment returns are low and counterparty risk should still be considered.

The timing of any action is important, and the Director of Corporate Services and treasury advisers will monitor prevailing rates for any opportunities during the year.

The Council will be expected to borrow £20.5m for the Carmarthenshire led projects within the Swansea Bay City Deal partnership from 2022-23 to 2024-25.

#### **4.2 The Council's agreed policy is to raise funding only from the following:**

Public Works Loan Board (PWLB)  
Market Long-Term  
Market Temporary  
Local Authorities  
Overdraft  
Internal Capital Receipts and Revenue Balances  
Leasing  
Welsh Government and Central Government

#### **4.3 Borrowing in advance of need**

The Council has some flexibility to borrow funds in advance of future years.

The Director of Corporate Services may do this under delegated power where, for instance, a sharp rise in interest rates is expected, and so borrowing early at fixed interest rates will be economically beneficial or meet budgetary constraints. Whilst the Director of Corporate Services will adopt a cautious approach to any such borrowing, where there is a clear business case for doing so borrowing may be undertaken to fund the approved capital programme or to fund future debt maturities.

Borrowing in advance will be made within the constraints that:

- It will be limited to no more than 50% of the expected increase in borrowing needed (CFR) over the three-year planning period; and
- Not to borrow more than 12 months in advance of need.

Risks associated with any advance borrowing activity will be appraised in advance and subsequently reported through the quarterly reporting mechanism.

## 5. **INVESTMENT STRATEGY 2022-23 – 2024-25**

### 5.1 **INTRODUCTION**

5.1.1 The Investment Strategy has been prepared with due regard to:

The Local Government Act 2003

Regulations made under the Local Government Act 2003 (as amended)

2017 Revised Prudential Code for Capital Finance in Local Authorities

The Local Authorities (Capital Finance and Accounting) (Wales) (Amendment) Regulations 2008

2017 Revised CIPFA Treasury Management in the Public Services: Code of Practice and Cross-Sectoral Guidance Notes

CIPFA Treasury Management Guidance Notes 2018

Welsh Government's Guidance on Local Government Investments ("the Guidance")

#### 5.1.2 **Key Objectives**

The Council's investment strategy primary objectives are:

- safeguarding the repayment of the principal and interest of its investments on time
- ensuring adequate liquidity
- the investment return

The coronavirus outbreak has caused significant economic damage to the UK and economies around the world. After the Bank of England took emergency action in March 2020 to cut Bank Rate to 0.10%, it left Bank Rate unchanged at its subsequent meetings until raising it to 0.25% at its meeting on 16th December 2021. As shown in the forecast table in 3 above, the forecast shows increases in the Bank Rate over the three-year period to 2024-25. Investment returns are expected to improve in 2022-23, however while markets are pricing in a series of Bank Rate increases, actual economic circumstances may see the Bank of England fall short of these elevated expectations. We continue to have robust procedures and controls in place to manage and monitor our investment strategy.

#### 5.1.3 **Risk Benchmarking**

A development in the revised Codes and the WG Investment Guidance is the consideration and approval of security and liquidity benchmarks. Yield benchmarks are currently widely used to assess investment performance. Discrete security and liquidity benchmarks are new requirements to the Member reporting, although the application of these is more subjective in nature. The approach taken is attached at Appendix B.

## 5.2 **DEFINITIONS**

5.2.1 A credit rating agency is one of the following three companies: Fitch Ratings Limited (Fitch), Moody's Investors Service Limited (Moody's) and Standard and Poors (S&P).

5.2.2 An investment is something held or a transaction which relies upon the power in section 12 of the 2003 Act. That is for any purpose relevant to its functions under any enactment, or for the purposes of the prudent management of its financial affairs. This covers all of the financial and non-financial assets a local authority has invested money into primarily or partially for the purpose of generating a surplus including investment property. As such this may include investments that are not managed as part of normal treasury management processes or under treasury management delegations (such as loans to third parties or other non specified investments).

## 5.3 **INVESTMENT COUNTERPARTIES**

The Director of Corporate Services maintains a counterparty list in compliance with the following criteria and revises the criteria and submits them to Council for approval as necessary. This criteria is separate to that which approves Specified and Non-Specified investments as it selects which counterparties the Council will approve rather than defining what its investments are. The rating criteria use the lowest common denominator method of selecting counterparties and applying limits. This means that the application of the Council's minimum criteria will apply to the lowest available rating for any institution. For instance if an institution is rated by all three agencies, two meet the Council's criteria, the other does not, the institution will fall outside the lending criteria.

### 5.3.1 **Investment Counterparty Selection Criteria**

The primary principle governing the Council's investment criteria is the security of its investments, although the yield or return on the investment is also a key consideration. To meet this main principle the Council will ensure:

- It maintains a policy covering both the categories of investment types it will invest in, criteria for choosing investment counterparties with adequate security, and monitoring their security. This is set out in the Specified and Non-Specified investment sections.
- It has sufficient liquidity in its investments. For this purpose it will set out procedures for determining the maximum periods for which funds may prudently be committed. These procedures also apply to the Council's prudential indicators covering the maximum principal sums invested.

5.3.2 **UK Banks 1 (Upper Limit)** – This Council will use banks which have at least the following Fitch, Moody's and Standard & Poors ratings:

Short Term – F1, P-1, A-1

Long Term – AA-, Aa3, AA-

**UK Banks 2 & UK Building Societies (Middle Limit)** – This Council will use all UK Banks and Building Societies which have at least the following Fitch, Moody’s and Standard & Poors ratings:

Short Term – F1, P-1, A-1

Long Term – A, A2, A

**UK Banks Part Nationalised** – Royal Bank of Scotland Group plc (Royal Bank of Scotland and National Westminster Bank). These banks will be included if they continue to be part nationalised or they meet the ratings above.

At the time of writing the UK Government (HM Treasury) holds 54.7% stake within Royal Bank of Scotland Group.

UK part nationalised banks which are significantly owned by the UK Government will be included as investment counterparties, as long as they continue to have appropriate UK Government support. UK Government backing provides a credit quality overlay above that provided by the credit rating agencies. The Royal Bank of Scotland Group plc will be monitored for any material reduction in state ownership or deterioration of the credit rating which suggests a reduction of its use or suspension from the counterparty list.

**UK Banks 3** – The Council’s banker for transactional purposes if it falls below the above criteria. Balances will be minimised in both monetary size and time.

**Money Market Funds** – The Council will use AAA rated money market funds (MMFs) that are credit rated by at least two of the three credit rating agencies. These are pooled investment funds whose primary aims are liquidity and security and allow daily access to funds when required. Their operations are strictly regulated by the credit rating agencies and are operated by a financial institution but do not form part of that institution’s assets, should the sponsoring institution fail the MMF is entirely separate, effectively owned by the investors. These types of funds invest in a range of instruments and institutions and therefore provide a low risk spread of investments.

The Money Market Fund reforms in Europe came into force during 2018 and provide the Council the opportunity to invest into Public Debt Constant Net Asset Value (“CNAV”) MMFs and Low Volatility NAV (“LVNAV”) MMFs. This is consistent with our current strategic approach. The exceptional economic environment and low interest rate position has seen some MMFs changing operating procedures whilst keeping very low risk. The Director of Corporate Services will continue to utilise and monitor these instruments.

**UK Government (including gilts and the DMADF)**

**Local Authorities (including Police & Fire Authorities)**

### 5.3.3 Use of additional information other than credit ratings

Under the Revised CIPFA Treasury Management Code of Practice 2017 the Council is still required to supplement credit rating information. Whilst the above criteria relies primarily on the application of credit ratings to provide a pool of appropriate counterparties for officers to use, additional operational market information will be applied before making any specific investment



decision from the agreed pool of counterparties. The market information (for example, negative rating watches/outlooks, individual/viability and support ratings) will be applied to compare the relative security of differing investment counterparties.

The UK Government, like other Western governments, have initiated market regulations which mean they may not bail out financial institutions in the future. This process included ring-fencing part of each bank and requiring greater capital buffers are held on the balance sheets. The current Covid issues have demonstrated that these procedures have helped reduce risk. Whilst this is not a cause for concern, officers will continue to monitor the situation and changes to future investment strategies are likely.

5.3.4 The time and monetary limits for institutions on the Council's Counterparty List are shown below: (Specified and Non-Specified Investments)

	Fitch	Moody's	Standard & Poors	Money Limit	Time Limit
Upper Limit Category - Short Term and Long Term	F1 AA-	P-1 Aa3	A-1 AA-	£10m	3 years
Middle Limit Category - Short Term and Long Term	F1 A	P-1 A2	A-1 A	£7m	1 year
Part Nationalised	-	-	-	£7m	1 year
Council's Banker (not meeting criteria above)	-	-	-	£3m	1 day
Other Institution Limits (per institution):					
- Any One Local Authority (including Police & Fire authorities)	-	-	-	£5m	1 year
- Any AAA Rated Money Market Fund CNAV	-	-	-	£5m	Daily Liquidity
- Any AAA Rated Money Market Fund LVNAV	-	-	-	£5m	Daily Liquidity
- Debt Management Account Deposit Facility (DMO)	-	-	-	£100m*	6 months (max term specified by DMO)

\*Note: the increase in the DMO money limit from £70m to £100m was approved in April 2021 and reported in the 1<sup>st</sup> April 2021 – 30<sup>th</sup> June 2021 Treasury Management Report

### 5.3.5 There are two types of investments – Specified and Non Specified

#### 5.3.5.1 Specified Investments

These investments are sterling investments of not more than one-year maturity. These are low risk assets where the possibility of loss of principal or investment income is small. These would include investments with:

- (1) The UK Government (such as the Debt Management Office, UK Treasury Bills or a Gilt with less than one year to maturity).
- (2) A local authority, police authority and fire authority.
- (3) Pooled investment vehicles (such as money market funds) that have been awarded a high credit rating by a credit rating agency.
- (4) A body that has high credit quality (which may include a high credit rating by a credit rating agency) such as a bank or building society. For this purpose a body with a short term rating of F1, P-1 or A-1 will be considered high quality.

#### 5.3.5.2 Non Specified Investments

These investments are any other type of investment (i.e. not defined as Specified in 5.3.5.1 above).

The maximum sum and time limit for non specified investments is £5m per counterparty with a limit of 3 years.

Non specified investments will only be made in local authorities, bodies with a minimum long-term credit rating of AA– and in AAA rated money market funds.

**Note:** Barclays Bank plc are the Council's current bankers. If the bank's credit rating falls and it no longer meets the criteria for a specified investment no deposits will be made with the exception of the bank's overnight (Moneymaster) account. The average day to day operational balance on the account will not exceed £3m in these circumstances. See 5.3.4 above.

In the normal course of the council's cash flow operations it is expected that both Specified and Non-specified investments will be utilised for the control of liquidity as both categories allow for short term investments.

The use of longer term instruments (greater than one year from inception to repayment) will fall in the non-specified investment category. These instruments will only be used where the Council's liquidity requirements are safeguarded.

#### 5.3.6 The Monitoring of Investment Counterparties

The credit ratings of counterparties are monitored regularly. The officers receive credit rating information (changes, rating watches and rating outlooks) from the treasury management advisers as and when ratings change, and counterparties are checked promptly. Occasionally ratings may be downgraded when an investment has already been made. The criteria used are such that a minor downgrading should not affect the full receipt of the principal and interest. Any counterparty failing to meet the criteria will be removed from the list immediately by the Director of Corporate Services, and if required new counterparties which meet the criteria will be added to the list.

The criteria for choosing counterparties set out above provide a sound approach to investment in “normal” market circumstances. Whilst Members are asked to approve this base criteria above, under “exceptional” market conditions the Director of Corporate Services will temporarily restrict further investment activity to those counterparties considered of higher credit quality than the minimum criteria set out for approval. These restrictions will remain in place until the banking system returns to “normal” conditions. Similarly the time periods for investments will be restricted.

This would potentially necessitate greater use of and/or increase(s) in the money limit(s) of the Debt Management Account Deposit Facility (DMADF – an account within the Government Debt Management Office (DMO) which accepts local authority deposits), Money Market Funds, guaranteed deposit facilities and strongly rated institutions offered support by the UK Government.

The present Schedule of Approved Counterparties for Lending 2022-2023 is shown in Appendix C.

#### 5.4 **LIQUIDITY OF INVESTMENTS**

Investments are made for periods which coincide with the Council’s cash flow requirements. When investing (within the risk criteria mentioned above), the aim is to achieve a level of return greater than would be secured by internal investments.

Previously, the “7 day LIBID rate” was the recognised rate which the Council would aim to exceed when lending money, however the LIBID rates ceased from 31<sup>st</sup> December 2021. Work is currently progressing with our Treasury advisors at Link and their clients to replace this rate with a suitable alternative for benchmarking.

We will monitor the situation closely and an update will be provided in future Quarterly Reports.

#### 5.5 **INVESTMENTS THAT ARE NOT PART OF TREASURY MANAGEMENT ACTIVITY**

This Council recognises that investment in other financial assets and property primarily for financial return, taken for non-treasury management purposes, requires careful investment management. Such activity includes loans supporting service outcomes, investments in subsidiaries, and investment property portfolios.

This Council will ensure that all the organisation’s investments are covered in the investment strategy or equivalent, and will set out, where relevant, the organisation’s risk appetite and specific policies and arrangements for non-treasury investments. It will be recognised that the risk appetite for these activities may differ from that for treasury management.

The council will maintain a schedule setting out a summary of existing material investments, subsidiaries, joint ventures and liabilities including financial guarantees and the organisation’s risk exposure.

Prior to making these investments, appropriate financial review procedures will be undertaken, including due diligence covering Profit and Loss, Balance Sheet, cash flow monitoring, etc, as appropriate.

This Council acknowledges that it is critical that due diligence processes and procedures reflect the additional risk an organisation is taking on. Due diligence procedures should ensure effective scrutiny of proposed investments, identification of risk to both capital and returns, any external underwriting of those risks, and the potential impact on the financial sustainability of the organisation if those risks come to pass. Where necessary independent and expert advice should be sought to ensure due diligence is suitably robust.

## 5.6 **CLIMATE CHANGE**

Where possible, consideration will be given to the disclosure of long term climate risks associated with investments, though with regard to treasury investments, any tangible information will be limited. Greater disclosure for non specified investments and loans to third parties may be appropriate depending on the type of activity.

## 6. **DEBT RESCHEDULING AND PREMATURE REPAYMENT OF DEBT**

As short term borrowing rates are likely to be considerably cheaper than longer term fixed interest rates, there may be potential opportunities to generate savings by switching from long term debt to short term debt. However, these savings will need to be considered in the light of the current treasury position and the size of the cost of debt repayment (premiums incurred).

The reasons for any rescheduling to take place will include:

- the generation of cash savings and / or discounted cash flow savings
- helping to fulfil the treasury strategy
- enhance the balance of the portfolio (amend the maturity profile and/or the balance of volatility).

Consideration will also be given to identify if there is any residual potential for making savings by utilising current investment balances to repay debt prematurely as short term rates on investments are likely to be lower than rates paid on current debt.

## 7. **PERFORMANCE INDICATORS**

The Code of Practice on Treasury Management requires the Council to set performance indicators to assess the adequacy of the treasury function over the year. These are distinct historic indicators, as opposed to the prudential indicators, which are predominantly forward looking. Examples of performance indicators used for the treasury function are:

- Debt (Borrowing) – New borrowing rate to outperform the average PWLB rate for the year
- Debt – Average weighted debt rate movement year on year
- Investments – Currently no benchmark available - please see note 5.4 above.

The results of these indicators will be reported in the Treasury Management Annual Report for 2022-23.

## 8. **TREASURY MANAGEMENT ADVISERS**

The Council has a contract with Link Group as its external treasury management advisor.

Link provides a range of services which include:

- Technical support on treasury matters, capital finance issues including IFRS 16 leases and the drafting of Member reports
- Economic and interest rate analysis
- Debt advisory services which includes advice on the timing of borrowing
- Debt rescheduling advice surrounding the existing portfolio
- Generic investment advice on interest rates, timing and investment instruments
- Credit ratings/market information service comprising the three main credit rating agencies

Under current market rules and the Revised CIPFA Treasury Management Code of Practice 2017 the responsibility for treasury management decisions remains with the Council at all times ensuring that undue reliance is not placed upon the external service providers.

The Council also recognises that there is value in employing external providers of treasury management services in order to acquire access to specialist skills and resources. The Council will ensure that the terms of their appointment and the methods by which their value will be assessed are properly agreed and documented, and subjected to regular review.

## 9. **MEMBER & OFFICER TRAINING**

The increased member consideration of treasury management matters and the need to ensure officers dealing with treasury management are trained and kept up to date requires a suitable training process for members and officers. This Council has addressed this important issue by:

- Reviewing the treasury management function and ensuring officers are suitably qualified
- Arranging external training for officers
- Arranging training for those members charged with governance of the treasury management function

## **RECOMMENDATIONS**

1. That Council formally approves the Treasury Management Policy and Strategy for 2022-2023 and recommendations therein.
2. That Council formally approves the Treasury Management Indicators, Prudential Indicators, the MRP Statement, the Investment Strategy and recommendations therein.

**TREASURY MANAGEMENT PRACTICES (TMPs)**

**TMP1 RISK MANAGEMENT**

**General Statement**

This Council regards a key objective of its treasury management activities to be the security of the principal sums it invests. Accordingly, it will ensure that robust due diligence procedures cover all external investment.

The Director of Corporate Services or those persons to which delegation has been made will design, implement and monitor all arrangements for the identification, management and control of treasury management risk, will report at least annually on the adequacy/suitability thereof, and will report, as a matter of urgency, the circumstances of any actual or likely difficulty in achieving the organisation's objectives in this respect, all in accordance with the procedures set out in TMP 6 Reporting requirements and management information arrangements. In respect of each of the following risks, the arrangements which seek to ensure compliance with these objectives are set out below.

**1.1 Credit and Counterparty Risk Management**

**Explanation**

The risk of failure by a third party to meet its contractual obligations to the Council under an investment, borrowing, capital, project or partnership financing, particularly as a result of the third party's diminished creditworthiness, and the resulting detrimental effect on the Council's capital or current (revenue) resources.

**Council Action**

This Council regards a key objective of its treasury management activities to be the security of the principal sums it invests. Accordingly, it will ensure that its counterparty lists and limits reflect a prudent attitude towards organisations with whom funds may be deposited, and will limit its investment activities to the instruments, methods and techniques referred to in TMP4 Approved instruments, methods and techniques and listed in the Annual Treasury Management Policy and Strategy Statement. It also recognises the need to have, and will therefore maintain, a formal counterparty policy in respect of those organisations from which it may borrow, or with whom it may enter into other financing arrangements.

A detailed list of counterparties to which the Council will lend is appended to the Annual Treasury Management Policy and Strategy Statement.

1.2

## **Liquidity Risk Management**

### **Explanation**

The risk that cash will not be available when it is needed, that ineffective management of liquidity creates additional budgeted costs, and that the organisation's business/service objectives will therefore be compromised.

### **Council Action**

The Council through its Treasury Management officers will ensure that at all times there will be a surplus of cash available which can be called upon at a moment's notice. Through its investments the Council holds cash on call account(s) which is available at any time. By the use of an effective projected cash flow exercise the likelihood of cash being not readily available when required would be rare. Robust daily, weekly, monthly and annual cash flow forecasting is in place. Call accounts and fixed term investments are utilised to their full potential. This Council will only borrow in advance of need where there is a clear business case for doing so and will only do so for the current capital programme or to finance future debt maturities.

1.3

## **Interest Rate Risk Management**

### **Explanation**

The risk that fluctuations in the levels of interest rates create an unexpected or unbudgeted burden on the organisation's finances, against which the organisation has failed to protect itself adequately.

### **Council Action**

This Council will manage its exposure to fluctuations in interest rates with a view to containing its interest costs, or securing its interest revenues, in accordance with the amounts provided in its budgetary arrangements as amended in accordance with TMP6 Reporting requirements and management information arrangements.

It will achieve this by the prudent use of its approved financing and investment instruments, methods and techniques, primarily to create stability and certainty of costs and revenues, but at the same time retaining a sufficient degree of flexibility to take advantage of unexpected, potentially advantageous changes in the level or structure of interest rates. This should be the subject to the consideration and, if required, approval of any policy or budgetary implications.



1.4

## **Exchange Rate Risk Management**

### **Explanation**

The risk that fluctuations in foreign exchange rates create an unexpected or unbudgeted burden on the organisation's finances, against which the organisation has failed to protect itself adequately. The Council is awarded grant from specific programmes in Euro currency and consequently receives grant income in this currency. Where the Council is a joint beneficiary and not a lead beneficiary, payments are received from the lead beneficiary in Euros into the Council's Sterling bank account.

There is a negligible risk where the Council is a joint beneficiary.

Where the Council is a lead beneficiary for a grant and is receiving income in Euro currency on behalf of other beneficiaries, the income is received into and payments made in Euros from the Euro bank account.

### **Council Action**

Currently the Council only invests in sterling products. Hence, there is no exchange rate risk with regard these investments. For grants where the Council is lead beneficiary, receiving income in Euro currency on behalf of other beneficiaries and reimbursing them, exchange risk is mitigated by using a Euro bank account.

1.5

## **Inflation Risk Management**

### **Explanation**

Inflation risk, also called purchasing power risk, is the chance that the cash flows from an investment won't be worth as much in the future because of changes in purchasing power due to inflation.

### **Council Action**

The Council will keep under review the sensitivity of its treasury assets and liabilities to inflation and will seek to manage the risk accordingly in the context of the whole Council's inflation exposures.

1.6

## **Refinancing Risk Management**

### **Explanation**

The risk that maturing borrowings, capital project or partnership financing cannot be refinanced on terms that reflect the provisions made by the organisation or those refinancings, both capital and current (revenue), and/or that the terms are inconsistent with prevailing market conditions at the time.

### **Council Action**

This Council will ensure that its borrowing, private financing and partnership arrangements are negotiated, structured and documented, and the maturity profile of the monies so raised are managed, with a view to obtaining offer terms for renewal or refinancing, if required, which are competitive and as favourable to the Council as can reasonably be achieved in the light of market conditions prevailing at the time. It will actively manage its relationships with its counterparties in these transactions in such a manner as to secure this objective and will avoid overreliance on any one source of funding if this might jeopardise achievement of the above.

1.7

## **Legal and Regulatory Risk Management**

### **Explanation**

The risk that an organisation itself, or a third party with which it is dealing in its treasury management activities, fails to act in accordance with its legal powers or regulatory requirements, and that the organisation suffers losses accordingly.

### **Council Action**

This Council will ensure that all of its treasury management activities comply with its statutory powers and regulatory requirements. It will demonstrate such compliance, if required to do so, to all parties with whom it deals in such activities. In framing its credit and counterparty policy under TMP 1 credit and counterparty risk management it will ensure that there is evidence of counterparties' powers, authority and compliance in respect of the transactions they may effect with the organisation, particularly with regard to duty of care and fees charged.

This Council recognises that future legislative or regulatory changes may impact on its treasury management activities and, so far as it is reasonably able to do so, will seek to minimize the risk of these impacting adversely on the Council.

1.8

## **Fraud, Error and Corruption, and Contingency Management**

### **Explanation**

The risk that an organisation fails to identify the circumstances in which it may be exposed to the risk of loss through fraud, error, corruption or other eventualities in its treasury management dealings, and fails to employ suitable systems and procedures and maintain effective contingency management arrangements to these ends. It includes the area of risk commonly referred to as operational risk.

### **Council Action**

This Council will ensure that it has identified the circumstances which may expose it to the risk of loss through fraud, error, corruption or other eventualities in its treasury management dealings. Accordingly, it will employ suitable systems and procedures, and will maintain effective contingency management arrangements, to these ends.

1.9

## **Price Risk Management**

### **Explanation**

The risk that, through adverse market fluctuations in the value of the principal sums the organisation invests, its stated treasury management policies and objectives are compromised, against which effects it has failed to protect itself adequately.

### **Council Action**

This Council will seek to ensure that its stated treasury management policies and objectives will not be compromised by adverse market fluctuations in the value of the principal sums it invests, and will accordingly seek to protect itself from the effects of such fluctuations.

TMP2

## **PERFORMANCE MEASUREMENT**

### **Explanation**

Performance measurement is a process designed to calculate the effectiveness of a portfolio's or manager's investment returns or borrowing costs and the application of the resulting data for the purposes of comparison with the performance of other portfolios or managers, or with recognised industry standards or market indices.

## **Council Action**

This Council is committed to the pursuit of value for money in its treasury management activities, and to the use of performance methodology in support of that aim, within the framework set out in its treasury management policy statement.

Accordingly, the treasury management function will be the subject of ongoing analysis of the value it adds in support of the Council's stated business or service objectives. It will be the subject of regular examination of alternative methods of service delivery, of the availability of fiscal or other grant or subsidy incentives, and of the scope of other potential improvements.

**TMP3**

## **DECISION MAKING AND ANALYSIS**

### **Explanation**

It is vital that the treasury management decisions of organisations in the public service should be subjected to prior scrutiny. The treasury management strategy is approved annually by full council and supplemented by the provision of monitoring information and regular review by councillors in both executive and scrutiny functions. In addition, all records should be kept of the processes and the rationale behind those decisions. In respect of each decision made the Council should:

- 3.1 ensure that its results are within the limits set in the Prudential Indicators.
- 3.2 be clear about the nature and extent of the risks to which the Council may become exposed.
- 3.3 be certain about the legality of the decision reached and the nature of the transaction, and that all authorities to proceed have been obtained.
- 3.4 be content that the documentation is adequate both to deliver the Council's objectives and protect the Council's interest, and to deliver good housekeeping.
- 3.5 ensure that third parties are judged satisfactorily in the context of the Council's credit worthiness policies, and that limits have not been exceeded.
- 3.6 be content that the terms of any transactions have been fully checked against the market and have been found to be competitive.
- 3.7 in respect of borrowing the Council should evaluate the economic and market factors that influence the manner and timing of any decision to fund.

- 3.8 consider the merits and demerits of alternative forms of funding, including funding from revenue, leasing and private partnerships.
- 3.9 consider the alternative interest rate bases available, the most appropriate periods to fund and repayment profiles to use and, if relevant, the opportunities for foreign currency funding.
- 3.10 consider the ongoing revenue liabilities created, and the implications for the Council's future plans and budgets.
- 3.11 in respect of investment decisions, the Council should consider the optimum period, in the light of cash flow availability and prevailing market conditions.
- 3.12 consider the alternative investment products and techniques available, especially the implications of any which may expose the Council to changes in the value of its capital.

### **Council Action**

This Council will maintain full records of its treasury management decisions, and of the processes and practices applied in reaching those decisions both for the purposes of learning from the past, and for demonstrating that reasonable steps were taken to ensure that all issues relevant to those decisions were taken into account at the time.

**TMP4**

### **APPROVED INSTRUMENTS, METHODS AND TECHNIQUES**

#### **Explanation**

It is important that the Council is clear about the treasury management instruments, methods and techniques used as one of the main issues to be taken into account when reaching decisions in the need to protect public funds. This treasury management practice requires that the Council is equipped with the skills and experience to evaluate and control the risks and advantages associated with using the instruments available to it before including them in the approved list. Only instruments that the organisation has the skills and experience to evaluate should be included in their approved list, even if they are legally permitted to do so. This principle applies to investment, borrowing and other means of raising capital and project finance, and to the use of one off-market or financial derivative instruments such as interest rate swaps. The consideration of skills and experience is particularly critical where organisations request to be treated as professional clients under MIFID II. Designation under MIFID II should be endorsed by the treasury management strategy and regularly reviewed to ensure that designation remains appropriate.

## **Council Action**

This Council will undertake its treasury management activities by employing only those instruments, methods and techniques detailed in the policy, and within the limits and parameters defined in Treasury Management Practice 1 Risk Management.

This Council has reviewed its classification with financial institutions under MIFID II and has set out in the schedule to this document those organisations with which it is registered as a professional client and those with which it has an application outstanding to register as a professional client.

**TMP5**

## **ORGANISATION, CLARITY AND SEGREGATION OF RESPONSIBILITIES, AND DEALING ARRANGEMENTS**

### **Explanation**

It is considered vital that there should be a clear division of responsibilities, included in a written statement of the duties of each post engaged in Treasury Management. It is especially important that staff responsible for negotiating and closing deals are not responsible for recording them, or for maintaining the cash book. This is in order to create a framework for internal check and reflects both the variety of activities in treasury management and the very often large sums involved.

### **Council Action**

This Council considers it essential, for the purposes of the effective control and monitoring of its treasury management activities, for the reduction of the risk of fraud or error, and for the pursuit of optimum performance, that these activities are structured and managed in a fully integrated manner, and that there is at all times a clarity of treasury management responsibilities.

The principle on which this will be based is a clear distinction between those charged with setting treasury management policies and those charged with implementing and controlling these policies, particularly with regard to the execution and transmission of funds, the recording and administering of treasury management decisions, and the audit and review of the treasury management function.

If and when this Council intends, as a result of lack of resources or other circumstances, to depart from these principles, the responsible officer will ensure that the reasons are properly reported in accordance with Treasury Management Practice 6 Reporting requirements and management information arrangements, and the implications properly considered and evaluated.

The Director of Corporate Services will ensure that there are clear written statements of the responsibilities for each post engaged in treasury management, and the arrangements for absence cover.

The Director of Corporate Services will ensure there is a proper documentation for all deals and transactions, and that procedures exist for the effective transmission of funds.

**TMP6**

## **REPORTING REQUIREMENTS AND MANAGEMENT INFORMATION ARRANGEMENTS**

### **Explanation**

It is recommended that the Council's treasury management policy statement should specify formal reporting arrangements by the Director of Corporate Services to full Council, to include at a minimum, annual reports both before, mid-year and after the year-end.

### **Council Action**

This Council will ensure that regular reports are prepared and considered on the implementation of its treasury management policies, on the effects of decisions taken and transactions executed in pursuit of those policies, on the implications of changes, particularly budgetary, resulting from regulatory, economic, market or other factors affecting its treasury management activities and on the performance of the treasury management function.

The following reporting process has been agreed by the Council:

#### 6.1 Annual Reporting Requirements before the start of the year:

- Review of the Council's approved clauses, treasury management policy statement and practices
- Strategy report on proposed treasury management activities for the year, including the MRP and Investment policies
- Proposed Treasury Management and Prudential Indicators

#### 6.2 Quarter 1 and Quarter 3 Reporting Requirements during the year which will be presented to both Executive Board and Policy and Resources Scrutiny Committee:

- Activities undertaken
- Variations (if any) from agreed policies/practices

- Performance report
  - Performance against Treasury Management and Prudential Indicators
- 6.3 Mid-Year Reporting Requirements during the year which will be presented to Council, Executive Board and Policy and Resources Scrutiny Committee:
- Activities undertaken
  - Variations (if any) from agreed policies/practices
  - Performance report
  - Performance against Treasury Management and Prudential Indicators
- 6.3 Annual Reporting Requirements after the year end
- Transactions executed and their revenue (current) effects
  - Report on risk implications of decisions taken and transactions executed
  - Compliance report on agreed policies/practices, and on statutory/regulatory requirements
  - Performance report
  - Report on compliance with Revised CIPFA Treasury Management Code of Practice 2017 recommendations
  - Performance against Treasury Management and Prudential Indicators

By undertaking the above it will ensure, as a minimum, that those with ultimate responsibility for the treasury management function appreciate fully the implications of treasury management policies and activities, and that those implementing policies and executing transactions have properly fulfilled their responsibilities with regard to delegation and reporting.

**TMP7 BUDGETING, ACCOUNTING AND AUDIT ARRANGEMENTS**

**Explanation**

It is recommended that the Council brings together for budgeting and management control purposes, all of the costs and revenues associated with the Council's treasury management activities, regardless of how the Council has actually



organised the treasury management function. In this context the Council's treasury management budgets and accounts should clearly identify.

- Manpower numbers and related costs
- Premises and other administrative costs
- Interest and other investment income
- Debt and other financing costs (or charges for the use of assets)
- Bank and overdraft charges
- Brokerages, commissions and other transaction-related costs
- External advisers' and consultants' charges

It is normal practice for the external auditor to have access to all papers supporting and explaining the operation and activities of the treasury management function. The auditor will be expected to enquire as to whether the Revised CIPFA Treasury Management Code of Practice 2017 has been adopted, and whether its principles and recommendations have been implemented and adhered to. Any serious breach of the recommendations of the Revised CIPFA Treasury Management Code of Practice 2017 should be brought to the external auditor's attention.

### **Council Action**

The Director of Corporate Services will prepare, and this Council will approve and, if necessary, from time to time will amend, an annual budget for treasury management, which will bring together all of the costs involved in running the treasury management function, together with associated income. The matters to be included in the budget will at minimum be those required by statute or regulation, together with such information as will demonstrate compliance with TMP1 Risk management, TMP2 Performance Measurement, and TMP4 Approved instruments, methods and techniques. The Director of Corporate Services will exercise effective controls over this budget and will report upon and recommend any changes required in accordance with TMP6 Reporting requirements and management information arrangements.

The calculation and compliance of Treasury Management and Prudential Indicators will be examined by Audit Wales.

This Council will account for its treasury management activities, for decisions made and transactions executed, in accordance with appropriate accounting practices and standards, and with statutory and regulatory requirements in force for the time being. This Council will ensure that its auditors, and those charged with regulatory review, have access to all information and papers supporting the activities of the treasury management function as are necessary for the proper fulfillment of their roles, and that such information and papers demonstrate compliance with external and internal policies and approved practices.

## **TMP8      CASH AND CASH FLOW MANAGEMENT**

### **Explanation**

The preparation of cash flow projections on a regular and timely basis provides a sound framework for effective cash management. Procedures for their preparation and review/modification, the periods to be covered, sources of data etc. should be an integral part of the schedules to the Council's approved treasury management practices.

### **Council Action**

Unless statutory or regulatory requirements demand otherwise, all monies in the hands of the Council will be under the control of the Director of Corporate Services and will be aggregated for cash flow and investment management purposes. Cash flow projections will be prepared on a regular and timely basis, and the Director of Corporate Services will ensure that these are adequate for the purposes of monitoring compliance with Treasury Management Practice 1 (2) liquidity risk management.

## **TMP9      ANTI-MONEY LAUNDERING**

### **Explanation**

Money Laundering has the objective of concealing the origin of money generated through criminal activity. Legislation has given a higher profile to the need to report suspicions of money laundering. Also, organisations such as Councils that undertake business under the Financial Services Act, or engage in certain specified activities, are required to set up procedures to comply with Anti-Money Laundering Regulations . These require Councils:

- To set up procedures for verifying the identity of clients
- To set up record-keeping procedures for evidence of identity and transactions
- To set up internal reporting procedures for suspicions, including the appointment of a money laundering reporting officer
- To train relevant employees in their legal obligations
- To train those employees in the procedures for recognising and reporting suspicions of money laundering

The Council should establish whether the Money Laundering Regulations apply to them. And it is for individual organisations to evaluate the prospect of laundered monies being handled by them, and to determine the appropriate safeguards to be put in place. It is the legal responsibility of every person engaged in treasury management, and indeed the Council, to make themselves aware of their personal responsibilities, but the Revised CIPFA Treasury Management Code of Practice 2017 recommends that Councils bring them to their staff's attention and consider the appointment of a member of staff to whom they can report any suspicions.

### **Council's Action**

This Council is alert to the possibility that it may become the subject of an attempt to involve it in a transaction involving the laundering of money. Accordingly, it will maintain procedures for verifying and recording the identity of counterparties and reporting suspicions and will ensure that staff involved in this are properly trained.

## **TMP10 TRAINING AND QUALIFICATIONS**

### **Explanation**

All Councils should be aware of the growing complexity of treasury management. Modern treasury management demands appropriate skills, including a knowledge of money and capital market operations, an awareness of available sources of funds and investment opportunities, an ability to assess and control risk, and an appreciation of the implications of legal and regulatory requirements.

Every Council should provide the necessary training, having assessed the professional competence of both those involved in the treasury management function, and those with a policy, management or supervisory role. If necessary, they should ensure that access exists to the necessary expertise and skills from external sources. Arrangements to ensure the availability of suitable skills and resources should recognize the prospect that staff absences may, at times, demand that others step in who do not normally have involvement on a day-to-day basis with the treasury management function.

When feasible in the context of the size of a particular organisation and its treasury management function, career progression opportunities should be made available and succession issues should be properly addressed. Secondments of senior management to the treasury management function for appropriate periods may benefit the effectiveness of the function as a whole.

## **Council Action**

This Council recognises the importance of ensuring that all staff involved in the treasury management function are fully equipped to undertake the duties and responsibilities allocated to them. It will therefore seek to appoint individuals who are both capable and experienced and will provide training for staff to enable them to acquire and maintain an appropriate level of expertise, knowledge and skills. The Director of Corporate Services will recommend and implement the necessary arrangements.

The Director of Corporate Services will ensure that council members tasked with treasury management responsibilities, including those responsible for scrutiny, have access to training relevant to their needs and those responsibilities.

Those charged with governance recognise their individual responsibility to ensure that they have the necessary skills to complete their role effectively.

### **TMP11 USE OF EXTERNAL SERVICE PROVIDERS**

There are a number of service providers available to support the treasury management activities of public service organisations.

Perhaps the most active and long-standing of these have been the money-broking companies, whose role it is to act as intermediaries, making introductions between the prospective parties to transactions.

It is not the role of brokers to provide advice on the creditworthiness of those organisations to which public service organisations may lend. They may provide information already in the public domain but may not interpret it. The use of brokers is a matter for local decision. But it is considered good practice, if their services are used, to ensure that business is spread between a reasonable number of them, and certainly no fewer than two.

Direct dealing with principals is a not uncommon feature of treasury management in the public services which, if nothing else, can provide a useful check on brokers' performance.

An issue that causes some debate is whether it is necessary or desirable for public service organisations to tape conversations with brokers and principals. This is a matter for local discretion, particularly in the context of the costs involved, but brokers are required to maintain taped recordings which the Council can ask for copies if needed.

Most public service organisations require the services of clearing bankers, and a growing number make use of the services of a wider group of banks, particularly to meet their need for private finance and partnership funding. The principles of competition need to be recognised here, too. Certainly, it is highly desirable to subject clearing banking services to competition, perhaps as frequently as every three or four years.

There has also been a growing tendency for public service organisations to employ external advisers and consultants, often for the purposes of a general treasury management advisory service, but also for specific purposes, such as the securing and structuring of funding and for partnership arrangements. These, too, should be the subject of regular competitive tendering.

Further, many public service organisations employ the services of external investment managers to help manage their surplus cash and, where relevant, their pension fund, trust fund or endowment fund assets.

CIPFA advises all organisations using the services of external service providers to document comprehensively the arrangements made with them.

### **Council Action**

The Council recognises that responsibility for treasury management decisions remain with the Council at all times. It recognises the potential value of employing external providers of treasury management services, in order to acquire access to specialist skills and resources. When it employs such service providers, it will ensure it does so for reasons which will have been submitted to a full evaluation of the costs and benefits. It will also ensure that the terms of their appointment and the methods by which their value will be assessed are properly agreed and documented and subjected to regular review. And it will ensure, where feasible and necessary, that a spread of service providers is used, to avoid overreliance on one or a small number of companies.

## **TMP12 CORPORATE GOVERNANCE**

The Revised CIPFA Treasury Management Code of Practice 2017 recommends that public service organisations state their commitment to embracing the principles of corporate governance in their treasury management activities, notably openness and transparency.

It is CIPFA's view that:

- adoption of the principles and policies promoted in the Revised CIPFA Treasury Management Code of Practice 2017 and in these guidance notes will in itself deliver the framework for demonstrating openness and transparency in an organisation's treasury management function
- publication of and free access to information about an organisation's treasury management transactions and other public documents connected with its treasury management activities will further assist in achieving this end
- establishing clear treasury management policies, the separation of roles in treasury management and the proper management of relationships both within and outside the organisation will establish the integrity of the function

- robust treasury management organisational structures, together with well-defined treasury management responsibilities and job specifications, will enhance accountability
- equality in treasury management dealings, absence of business favouritism and the creation of keen competition in treasury management will lay the groundwork for fairness.

The following paragraphs further emphasise the practices that CIPFA believes an organisation should employ to ensure the principles of corporate governance are successfully implemented.

### **Procedural responses**

The policies, strategies of treasury management should link clearly to the organisation's other key policies and strategies. In the management of risk, in particular, treasury risk management should be an integral part of its overall risk management processes, culminating in a well-defined, organisation-wide strategy for the control of risk and contingency planning.

The management and administration of treasury management should be robust, rigorous and disciplined. Over the years, some of the most significant examples of treasury mismanagement, in both the public services and the private sector, have resulted from procedural indiscipline. This has frequently been as a result of a failure to apply otherwise well-documented management and administration systems, or through failures in transmission, documentation or deal recording processes.

Reporting arrangements should be applied so as to ensure that those charged with responsibility for the treasury management policy have all the information necessary to enable them to fulfil openly their obligations; and that all stakeholders are fully appraised of and consulted on the organisation's treasury management activities on a regular basis.

The procedures for monitoring treasury management activities through audit, scrutiny and inspection should be sound and rigorously applied, with an openness of access to information and well-defined arrangements for the review and implementation of recommendations for change.

The application and interpretation of performance data should be clear, concise and relevant to the organisation's treasury management activities.

### **Stewardship responsibilities**

The Director of Corporate Services should ensure that systems exist to deliver proper financial administration and control, and a framework for overseeing and reviewing the treasury management function.

As regards a control framework, an organisation's formal policy documents should define clearly procedures for monitoring, control and internal check.

With regard to delegation it is vitally important that those involved in the implementation of treasury management policies and the execution of transactions are unambiguously empowered to undertake their tasks, and that reporting lines are well-defined.

An organisation's adoption of and adherence to the Revised CIPFA Treasury Management Code of Practice 2017 should be widely broadcast, as should the principles of the Revised CIPFA Treasury Management Code of Practice 2017 and the method of its application in the organisation.

The organisation's procedures for reviewing the value of the treasury management function, and the implementation of opportunities for improvement, should be both continuous and open to examination.

### **The governance of others**

In respect of the organisation's dealings with counterparties, external service providers and other interested parties, clear procedures should exist to enable the organisation, as far as is practicable, to monitor their adherence to the legal or regulatory regimes under which they operate.

### **Council Action**

This Council is committed to the pursuit of proper corporate governance throughout its businesses and services, and to establishing the principles and practices by which this can be achieved. Accordingly, the treasury management function and its activities will be undertaken with openness and transparency, honesty, integrity and accountability.

In respect of external service providers appropriate financial review procedures will be undertaken, including Profit and Loss, Balance Sheet and cash flow monitoring.

This Council has adopted and has implemented the key recommendations of the Revised CIPFA Treasury Management Code of Practice 2017. This is considered vital to the achievement of proper corporate governance in treasury management, and the Director of Corporate Services will monitor and, if and when necessary, report upon the effectiveness of these arrangements.

Mae'r dudalen hon yn wag yn fwriadol



**SECURITY, LIQUIDITY AND YIELD BENCHMARKING**

Member reporting on the consideration and approval of security and liquidity benchmarks will continue. These benchmarks are targets and so may be breached from time to time. Any breach will be reported, with supporting reasons in the Annual Treasury Management Report.

1. **Security**

In context of benchmarking, assessing security is a subjective area to assess. Security is currently evidenced by the application of minimum credit quality criteria to investment counterparties, primarily through the use of credit ratings supplied by the three main credit rating agencies (Fitch, Moody's and Standard and Poor's). Whilst this approach embodies security considerations, benchmarking levels of risk is more problematic. One method to benchmark security risk is to assess the historic level of default against the minimum criteria used in the Council's investment strategy.

The table below shows average defaults for differing periods of investment grade products for each Fitch/Moody's and Standard & Poor's long term rating category.

<b>Long term rating</b>	<b>1 year</b>	<b>2 years</b>	<b>3 years</b>
<b>AAA</b>	<b>0.04%</b>	<b>0.09%</b>	<b>0.17%</b>
<b>AA (includes AA- and AA+)</b>	<b>0.02%</b>	<b>0.04%</b>	<b>0.09%</b>
<b>A</b>	<b>0.05%</b>	<b>0.14%</b>	<b>0.26%</b>
<b>BBB</b>	<b>0.14%</b>	<b>0.38%</b>	<b>0.66%</b>
<b>BB</b>	<b>0.64%</b>	<b>1.79%</b>	<b>3.14%</b>
<b>B</b>	<b>2.81%</b>	<b>6.83%</b>	<b>10.44%</b>
<b>CCC</b>	<b>19.89%</b>	<b>27.52%</b>	<b>32.84%</b>

The Council's minimum long term rating criteria is currently "AA-" for any investment greater than one year and "A" for any investment up to one year. The average expectation of default for a one, two or three year investment in a counterparty with a "AA-" long term rating would be approximately 0.02% of the total investment and the average expectation of default for a one year investment in a counterparty with a "A" long term rating would be 0.05% of the total investment. This is only an average, any specific counterparty loss is likely to be higher, but these figures do act as a proxy benchmark for risk across the portfolio.

The Council's maximum security risk benchmark for the whole portfolio, when compared to these historic default tables, is:

- **0.17% historic risk of default when compared to the whole portfolio.**

In addition, the security benchmark for each individual year is:

	<b>1 year</b>	<b>2 years</b>	<b>3 years</b>
<b>Maximum</b>	<b>0.04%</b>	<b>0.09%</b>	<b>0.17%</b>

These benchmarks are embodied in the criteria for selecting cash investment counterparties and these will be monitored and reported to Members in the Annual Treasury Management Report. As this data is collated, trends and analysis will be collected and reported. Where a counterparty is not credit rated a proxy rating will be applied in conjunction with our advisers, considering the regulatory environment and financial standing of an organisation.

## 2. **Liquidity**

This is defined as “having adequate, though not excessive cash resources, borrowing arrangements, overdrafts or standby facilities to enable it at all times to have the level of funds available to it which are necessary for the achievement of its business/service objectives” (Revised CIPFA Treasury Management Code of Practice). In respect of this area the Council seeks to maintain:

- Bank overdraft facility - £0.5m
- Liquid short term deposits of at least £10m available immediately on call

The availability of liquidity and the term risk in the portfolio can be benchmarked by the monitoring of the Weighted Average Life (WAL) of the portfolio – shorter WAL would generally embody less liquidity risk. In this respect the proposed benchmark is to be used:

- **WAL benchmark is expected to be 0.5 years, with a maximum of 1 year.**

## 3. **Yield**

Benchmarks are widely used to assess investment performance. Previously, the “7 day LIBID rate” was the recognised rate which the Council would aim to exceed when lending money, however the LIBID rates ceased from 31<sup>st</sup> December 2021. Work is currently progressing with our Treasury advisors at Link and their clients to replace this rate with a suitable alternative for benchmarking. We will monitor the situation closely and an update will be provided in future Quarterly Reports.

Security and liquidity benchmarks are intrinsic to the approved treasury strategy through the counterparty selection criteria and some of the prudential indicators. Proposed benchmarks for the cash type investments are shown above and form the basis of reporting in this area.

**Schedule of Approved Counterparties for Lending 2022-2023  
(as at 10th January 2021)**

	<u>Fitch</u>		<u>Moody's</u>		<u>Standard and Poors</u>		<u>Money</u>	<u>Time</u>
	<u>Short Term</u>	<u>Long Term</u>	<u>Short Term</u>	<u>Long Term</u>	<u>Short Term</u>	<u>Long Term</u>	<u>Limit £'m</u>	<u>Limit years</u>
<b><u>Upper Limit</u></b>	<b><u>F1</u></b>	<b><u>AA-</u></b>	<b><u>P-1</u></b>	<b><u>Aa3</u></b>	<b><u>A-1</u></b>	<b><u>AA-</u></b>	<b><u>10</u></b>	<b><u>3</u></b>
<b>UK Banks</b>								
<b><u>Middle Limit</u></b>	<b><u>F1</u></b>	<b><u>A</u></b>	<b><u>P-1</u></b>	<b><u>A2</u></b>	<b><u>A-1</u></b>	<b><u>A</u></b>	<b><u>7</u></b>	<b><u>1</u></b>
<b>UK Banks</b>								
Banco Santander Central Hispano Group - Santander UK Plc	F1	A+	P-1	A1	A-1	A	7	1
Barclays Bank	F1	A+	P-1	A1	A-1	A	7	1
HSBC Bank Plc	F1+	AA-	P-1	A1	A-1	A+	7	1
Lloyds Banking Group - Bank of Scotland Plc - Lloyds Bank	F1 F1	A+ A+	P-1 P-1	A1 A1	A-1 A-1	A+ A+	7 7	1 1
Standard Chartered Bank	F1	A+	P-1	A1	A-1	A+	7	1
<b>UK Building Societies</b>								
Nationwide	F1	A	P-1	A1	A-1	A+	7	1
<b><u>UK Banks Part Nationalised</u></b>								
Royal Bank of Scotland Group - National Westminster Bank Plc - Royal Bank of Scotland Plc							7 7	1 1
<b><u>Council's Banker</u></b>							3	1 day
<b><u>Other Institution Limits</u></b>								
<b><u>Local Authorities</u></b>								
Any One Local Authority (including police and fire authority)							5	1
<b><u>Money Market Funds</u></b>								
Any AAA Rated Money Market Fund CNAV							5	1
<b><u>Money Market Funds</u></b>								
Any AAA Rated Money Market Fund LVNAV							5	1
<b>Debt Management Office</b>							100	6 months (max term specified by DMO)

Mae'r dudalen hon yn wag yn fwriadol

**1. THE PRUDENTIAL INDICATORS**

The following indicators are based on the figures put forward within the Capital and Revenue Plans set out in this report.

**1.1. Affordability**

**1.1.1. Estimates of ratio of financing costs to net revenue stream**

This indicator identifies the trend in the cost of capital (borrowing and other long term obligation costs net of investment income) against the net revenue stream.

	2022/23 Estimate	2023/24 Estimate	2024/25 Estimate
Non-HRA	3.97%	4.01%	4.18%
HRA (inclusive of settlement figure)	31.20%	32.27%	32.43%

The estimates of financing costs include current commitments and the proposals in this budget report. These figures are however subject to change as and when the final funding approvals come through from the Welsh Government. Updates will be provided if these figures require amendment.

The indicators show the proportion of income taken up by capital financing costs. Indicative Aggregate External Finance (AEF) for 2023/2024 is a 3.5% increase on 2022/2023 and for 2024/25 a 2.4% estimated increase on 2023/2024.

**1.2. Prudence**

**1.2.1. The Capital Financing Requirement (CFR)**

This prudential indicator is the Council's Capital Financing Requirement (CFR). The CFR is the total outstanding capital expenditure which has not yet been paid for from either revenue or capital resources. It is essentially a measure of the Council's underlying borrowing need. The capital expenditure above, which has not immediately been paid for, will increase the CFR.

The Council is asked to approve the CFR projections below:

£m	2022/23 Estimate	2023/24 Estimate	2024/25 Estimate
Non-HRA	280	296	290*
HRA	178	192	200
HRAS**	69	67	66
<b>TOTAL</b>	<b>527</b>	<b>555</b>	<b>556</b>

\*The Non-HRA CFR decreases in 2024/25 as the Minimum Revenue Provision exceeds the net capital funding requirement.

\*\*Housing Revenue Account Subsidy Buyout of £79m in April 2015.

### 1.2.2. The Gross Borrowing and Capital Financing Requirement indicator

The control mechanism to limit external debt.

Estimated gross borrowing for the four years starting with the last full year (2020/21) must not exceed the CFR in the medium term but can in the short term due to cash flows.

Ensures borrowing is only for approved capital purposes.

The Director of Corporate Services reports that the authority complied with this requirement in 2020/21 and does not envisage difficulties for the future. This view takes into account current commitments, existing plans, and the proposals in the budget report.

Details of Gross Borrowing:

£m	2020/21 Actual	2021/22 Estimate	2022/23 Estimate	2023/24 Estimate	2024/25 Estimate
Debt at 1 <sup>st</sup> April	433	414	414	473	538
Expected Change in Debt	(16)	0	59	65	18
<b>Gross debt at 31<sup>st</sup> March</b>	<b>414</b>	<b>414</b>	<b>473</b>	<b>538</b>	<b>556</b>
<b>CFR</b>	<b>504</b>	<b>502</b>	<b>527</b>	<b>555</b>	<b>556</b>
<b>Under / (Over) borrowing</b>	<b>90</b>	<b>88</b>	<b>54</b>	<b>17</b>	<b>0</b>

### 1.2.3. External Debt

The Authorised Limit and the Operational Boundary:

The Authorised Limit prudential indicator represents a control on the overall level of borrowing. This represents a limit beyond which external debt is prohibited, and this limit needs to be set or revised by full Council. It reflects the level of external debt which, while not desired, could be afforded in the short term, but is not sustainable in the longer term. This is the statutory limit determined under section 3(1) of the Local Government Act 2003. The Government retains an option to control either the total of all councils' plans, or those of a specific council, although no control has yet been exercised.

£m	2022/23 Estimate	2023/24 Estimate	2024/25 Estimate
Borrowing	578.9	610.1	611.0
Other Long- Term Liabilities	0.5	0.5	0.5
Total	579.4	610.6	611.5

The Operational Boundary for external debt is based on the same estimates as the authorised limit, but without the additional headroom for unusual and unexpected cash movements and equates to the level of projected external debt. This is clearly subject to the timing of borrowing decisions.

£m	2022/23 Estimate	2023/24 Estimate	2024/25 Estimate
Borrowing	526.6	555.0	556.0
Other Long-Term Liabilities	0.1	0.1	0.1
Total	526.7	555.1	556.1

The Council is asked to approve both the Authorised Limit and the Operational Boundary shown above.

#### 1.2.4. Actual External Debt

The Council's actual external debt at 31<sup>st</sup> March 2021 was £414m. The actual external debt is not directly comparable to the authorised limit and operational boundary because the actual external debt reflects the position at a point in time.

**It is recommended that the above Prudential Indicators are adopted and that the Director of Corporate Services is given delegated authority by Council to change the balance between borrowing and other long-term liabilities.**

**Other long-term liabilities are other credit arrangements, which are, in the main, finance leases. These indicators may be affected once information is collated during 2022/23 for the new lease requirements under IFRS 16.**

Mae'r dudalen hon yn wag yn fwriadol



**MINIMUM REVENUE PROVISION (MRP) STATEMENT**

The Council is required to pay off an element of the accumulated General Fund capital spend each year (the CFR) through a revenue charge (the minimum revenue provision – MRP), although it is also allowed to undertake additional voluntary payments if required (voluntary revenue provision – VRP). It is also required to charge an element of the accumulated HRA capital spend in line with Welsh Government requirements.

Welsh Government regulations were issued with effect from 1<sup>st</sup> April 2010 which require the full Council to approve a Minimum Revenue Provision (MRP) Statement in advance each year. A variety of options were provided to councils to replace the existing Regulations, as long as there is a prudent provision.

Council have already approved the following approaches for calculating MRP:

**Supported Borrowing and Capital Expenditure**

**Based on CFR**

The calculation is based on 2.5% of the opening Capital Financing Requirement (CFR) each year on a straight-line basis.

**Unsupported Borrowing**

**Asset Life Method**

The future borrowing value of unsupported borrowing is to be charged to revenue over 40 years or by the estimated economic life of the asset if shorter, please see below.

Capital Expenditure on the Modernising Education Programme (MEP) and Local Government Borrowing Initiative (LGBI) 21<sup>st</sup> Century Schools is classed as Unsupported Borrowing. It is estimated that asset lives within these programmes are 30 years and this is the period that will be used to determine the MRP.

Asset lives within the Fleet Programme range from 1 to 10 years, these are the periods that will be used to determine the MRP.

Local Government Borrowing Initiative (LGBI) Highways. It is estimated that asset lives within this programme are 20 years and this is the period that will be used to determine the MRP.

**Housing Revenue Account**

The calculation is based on 2% of the opening Capital Financing Requirement (CFR) each year.

## **Loans to Third Parties**

The Council occasionally lends capital loans to third parties which forms part of the Capital Financing Requirement. The Council's policy is not to apply Minimum Revenue Provision (MRP) to the loans but apply the loans repayments from the third party (which are capital receipts), in lieu of MRP. In the event of any likely default, the Council will calculate an Expected Credit Loss and apply MRP accordingly.

**Council is recommended to approve the following MRP Statement for 2022/2023:**

**For Supported and Unsupported Capital Expenditure, the MRP policy will continue to follow the approaches above.**

# Eitem Rhif 8

## PWYLLGOR CRAFFU POLISI AC ADNODDAU

**02/02/2022**

### Cynllun Busnes Adran y Prif Weithredwr 2022/23

**Y Pwrpas:**

Rhoi cyfle i aelodau adolygu Cynllun Busnes yr Adran.

**Ystyried y materion canlynol a chyflwyno sylwadau arnynt:**

1. I ystyried yr elfennau o'r cynllun busnes sy'n berthnasol i gylch gwaith y Pwyllgor Craffu hwn.

**Y Rhesymau:**

I ddangos sut mae'r adran yn cefnogi'r Strategaeth Gorfforaethol.

**Angen cyfeirio'r mater at y Cabinet / Cyngor er mwyn gwneud penderfyniad:**      NAC OES

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

Cyng. Emlyn Dole	Cynllunio Strategol Corfforaethol
Cyng. Glynog Davies	TGCh
Cyng. Hazel Evans	Rheolwr Busnes y Cyngor
Cyng. Linda Evans	Archwilio Cymru & Heneiddio'n dda
Cyng. Peter Hughes-Griffiths	TIC, Twristiaeth & Iaith Gymraeg
Cyng. Phillip Hughes	Adnoddau Dynol, Rheoli Perfformiad & Hyfforddiant
Cyng. David Jenkins	Polisi Cynllunio, Rheoli Asedau Eiddo, Hyrwyddwr y Lluoedd Arfog, Canolfannau cyswllt, Canolfannau Gwasanaethau Cwsmeriaid
Cyng. Ann Davies	Cydraddoldebau, Llesiant cenedlaethau'r dyfodol, Trechu Tlodi

**Y Gyfarwyddiaeth:**

Prif Weithredwr

**Enw Pennaeth y Gwasanaeth:**

Noelwyn Daniel

Paul Thomas

Linda Rees-Jones

Jason Jones

**Swyddi:**

Pennaeth TGCh a Pholisi Corfforaethol a Chyfarwyddwr Amgylchedd Dros Dro

Prif Weithredwr Cynorthwyol (Rheoli Pobl)

Pennaeth Gweinyddiaeth a'r Gyfraith

Pennaeth Adfywio

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**EXECUTIVE SUMMARY**  
**POLICY AND RESOURCES SCRUTINY COMMITTEE**  
**02/02/2022**

**Chief Executive's Departmental Business Plan 2022/23**

**Purpose:**

To give members an opportunity to review the Department's business plan.

The Chief Executive's Departmental Business Plan covers the period 2022/23 and the elements relevant to this Scrutiny's remit are identified below:

- ICT and Corporate Policy
- Legal and Administration
- People Management
- **NB Only part of Regeneration** - See Property Actions (B46+47+51) + (C52+57+58)
- Business and Executive Board Support
- Media and Marketing
- Electoral Services and Civil Registration.

The business plan provides:

- Departmental and divisional overview
- Self-assessment of performance in 2021-22
- Actions and measures for 2022-23.

The impact of the pandemic and BREXIT create a lot of uncertainty in future planning and this plan is therefore subject to change.

**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 :

Noelwyn Daniel	Head of ICT & Corporate Policy & Interim Director of Environment
Paul Thomas	Assistant Chief Executive
Linda Rees- Jones	Head of Admin & Legal
Jason Jones	Head of Regeneration

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

- This departmental business plan shows how the department supports the Corporate Strategy and its Well-being Objectives.
- It will be supported by more detailed divisional business plans.
- The actions that support the Well-being Objectives and the steps taken to achieve them will be monitored throughout the year.
- The COVID-19 pandemic has had a considerable impact on departments and business plans reflect this. There have been many lessons learnt and new ways of working developed that will be maintained.

### 2. Legal

The Well-being Future Generations Act (2015) requires that functions of the council should maximise their contributions to the Well-being Objectives set by the Council. Our Well-being Objectives maximise our contribution to the seven national Goals of the Act and demonstrate the five ways of working.

### 3 Finance

The Well-being Future Generations Act (2015) requires that we ensure that resources are allocated annually to meet our objectives. The budget is a separate item on the Agenda.

### 4. ICT

The Digital Transformation Strategy sets out the Council's strategic digital priorities and aspirations, and outlines what we plan to do to achieve our vision for a Digital Carmarthenshire. See the *Digital infrastructure and connectivity* element of the plan.

### 5. Risk Management Issues

Key risks are identified for each department and mitigating actions are outlined.

### 6. Staffing Implications

As identified within the plan.

### 7. Physical Assets

As outlined in the business plan.

## CONSULTATIONS

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

**Signed:**

Noelwyn Daniel

Head of ICT & Corporate Policy &  
Interim Director of Environment

Paul Thomas

Assistant Chief Executive

Linda Rees-Jones

Head of Admin & Legal

Jason Jones

Head of Regeneration

1. Local Member(s) N/A	
2. Community / Town Council N/A	
3. Relevant Partners N/A	
4. Staff Side Representatives and other Organisations N/A	
CABINET PORTFOLIO HOLDER(S) AWARE/CONSULTED - YES	Include any observations here

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

Title of Document	File Ref No.	Locations that the papers are available for public inspection
Corporate Strategy		<u>Corporate Strategy 2018-2023</u>

# Chief Executive's Department Business Plan

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

January 2022

[carmarthenshire.gov.wales](http://carmarthenshire.gov.wales)

Cyngor **Sir Gâr**  
**Carmarthenshire**  
County Council



Tudalen 167


## The Sustainable Development Principle

The Well-being of Future Generations (Wales) Act 2015 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.'***

To show that we have applied the sustainable development principle we must demonstrate.....


## The 5 Ways of Working (see Appendix 1)

- 


### Long term

The importance of balancing short-term needs with the need to safeguard the ability to also meet long-term needs.
- 


### Prevention

How acting to prevent problems occurring or getting worse may help public bodies meet their objectives.
- 

### Integration

Considering how the public body's well-being objectives may impact upon each of the well-being goals, on their other objectives, or on the objectives of other public bodies.
- 

### Collaboration

Acting in collaboration with any other person (or different parts of the body itself) that could help the body to meet its well-being objectives.
- 

### Involvement

The importance of involving people with an interest in achieving the well-being goals, and ensuring that those people reflect the diversity of the area which the body serves.

## Contents

### Cabinet Member Foreword

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## The Purpose of this Plan

This Departmental Business Plan sets the strategic objectives for the services within this Department. In turn, the strategic objectives translate into service objectives and individual staff targets. It provides an open and transparent way of showing staff, customers, elected members and stakeholders 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.

## Cabinet Members Responsible:



**Cllr Emlyn Dole** – Economic Development, Swansea Bay City Deal, Marketing & Media, Public Services Board, Corporate Strategic Planning

.....



**Cllr Glynog Davies** – ICT

.....



**Cllr David Jenkins** - Property/Asset Management and Major Projects, Statutory Services (Coroners, Registrars, Electoral, Lord Lieutenancy), Customer Services, Armed Forces, Planning Policy

.....



**Cllr Ann Davies** – Community Safety, Counter Terrorism & Security Act, Well-being of Future Generations, Tackling Poverty, Rural Affairs

.....



**Cllr Linda Evans** – Ageing Well, Audit Wales

.....



**Cllr Peter Hughes Griffiths** – Development of the Welsh Language, Tourism, Town & Community Council liaison, TIC

.....



**Cllr Phillip Hughes** - HR, Performance Management, Training

# 1. Departmental Overview

## Introduction by Director



### Priorities

The picture for public services is at an even more critical point now than compared to the pre pandemic position. We've got some key challenges ahead:

We have some strategic challenges:	This Departments role	Other Departments
<b>Economic Recovery</b>	The <i>Regeneration Division</i> leads on the <b>Economic Recovery Plan</b>	This applies to <b>all</b> departments
<b>Climate Change</b>	This applies to <b>all</b> departments	The strategic lead on this has moved from this department to the <i>Environment Department - Head of Place and Sustainability</i> .
<b>Economic pressure/crisis</b>	The <i>Regeneration Division</i> leads on the Economic Recovery Plan	This applies to <b>all</b> departments

Our regulators and citizens are looking to local government and other public sector partners to transform and innovate our way through the forthcoming years. As hard as the last 19 months have been, we also need to learn from the experience and not allow us to revert to the norm because the 'norm' is more comfortable and safe i.e. we need to challenge the status quo, it's now or never.

Additional challenges:	For this department	Other departments
Workforce planning which should include helping our workforce recover, skill gaps (in new post Covid world) and planning for growth	The <i>People Management Division</i> leads on this	This applies to <b>all</b> departments
Legacy cost (human and financial) of the pandemic and how you manage long term impact	The <i>People Management Division</i> leads on human legacy costs	This applies to <b>all</b> departments
<b>New approaches to service delivery and harnessing technology</b>	The <i>Head of People Management</i> will lead on new ways of working-supported by the TIC team. <i>The Better Ways of Working project will modernise our working practices and provide us with a framework that will meet the service delivery needs.</i>  The <i>Head of IT and Corporate Policy</i> will lead on harnessing technology	This applies to <b>all</b> departments
<b>Collaboration – only where it works and proves to deliver</b>	The <i>Head of IT and Corporate Policy</i> will lead on partnership working	This applies to <b>all</b> departments

This year's Business Planning will be one of the most considered and robustly structured.

### Local Government Elections - May 2022

During 2022/23 we will have to organise the local government elections and ensure that the newly elected members are fully inducted to undertake their role and ensure that the priorities of the newly elected or re-elected administration shape our Corporate Strategy and Well-being Objectives.

## Local Government and Elections (Wales) Act 2021

The Local Government and Elections (Wales) Act 2021 (“the Act”) provides for a new and reformed legislative framework for local government elections, democracy, governance and performance.

Duties	Department Lead Role
Democracy	
Changes to the Constitution . The development of a formal petition scheme and public participation strategy for the Democratic Process	Head of Administration and Law
Electoral changes	Electoral and Registration Services
Governance and Performance	
Duty to keep performance under review a) Are we exercising our functions effectively? b) Are we using our resources economically, efficiently and effectively? c) Is our governance effective to secure a+b?	Head of ICT and Corporate Policy
Duty to consult on performance	
Duty to report on performance	
Duty to arrange a panel performance assessment	
Duty to respond to a panel performance assessment report	

The expectations of this Act coincide with a reset of our Performance Management Framework and a renewed commitment of critically self -assessing our current performance to secure improvement for the future. This is more than stating what arrangements are in place, it about knowing how well we are doing, how we know it and what and how we can do better. Our performance monitoring and business planning arrangements will be further developed, and our ambition will be to always do better, not just satisfying minimum duties but exceeding expectations. We must be self-aware and using data insight to underpin decision making.

## Well-being of Future Generations (Wales) Act

It is challenging to think of future generations impact as opposed to immediate crisis but prevention is key, so in years to come our business planning and as such our investment programme must be one of no regrets.

The statutory guidance on the Well-being of Future Generations (Wales) Act requires change for a core set of activities common to the corporate governance of public bodies. This requirement is incorporated in the Local Government and Elections (Wales) act. These areas are:

7 areas of corporate change required:	To demonstrate this change and the application of the sustainable development principle we need apply the 5 Ways of Working
Corporate planning	Led by this Department
Performance management	
Workforce planning	
Financial planning	Led by Corporate Services Department
Procurement	
Risk management	
Assets	See Regeneration

## New for 2022

2022 will bring with it the same challenges but with it some new and positive plans, from work starting at Pentre Awel and the Tyisha regeneration in Llanelli, to delivering a new public sector service Hwb for Carmarthen.

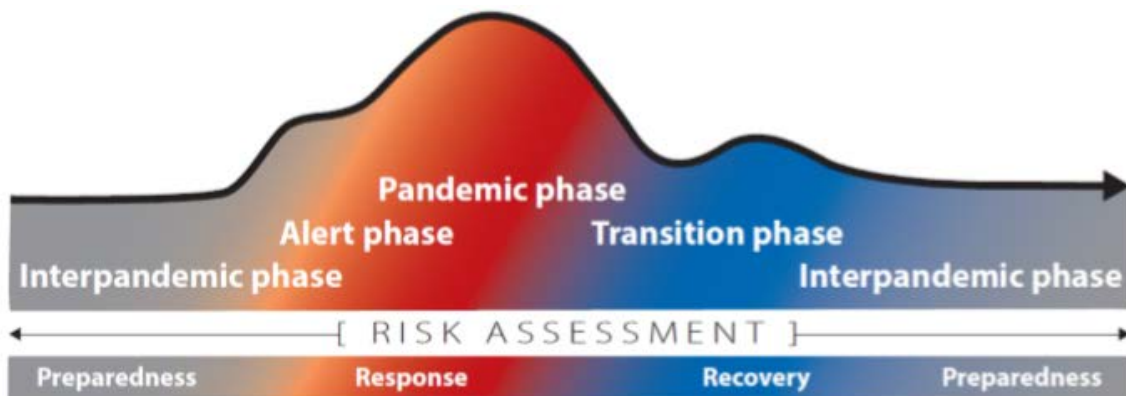
## Recovery Planning and Preparedness

Since the start of COVID-19 we have seen our ways of working change significantly and indeed the world as we know it.

Whilst it has been challenging and let's not forget it still remains extremely tough, especially within certain services, we have learnt to adapt well to our new working arrangements and thanks to a huge effort from everyone we have continued to deliver our services, albeit in a different way in some cases. We are now in a position where we need to learn how to work alongside the virus. It hasn't gone away and whilst we've all worked so well to provide services to the residents of Carmarthenshire, some of which may have been compromised by Covid, we now need to accept that this is our new normal and we need to move forward, further strengthen our approach and the new ways of working.

As a Council we have some key challenges ahead as we look at how we recover from Covid. Our business planning will be key to this, with priority areas such as our recovery plan and what new approaches we can bring to our services as well as looking at the technology available to us. We need to take what we have learnt over the pandemic and challenge what is already in place, but we also need to be innovative.

*The World Health Organisation Pandemic advice is be prepared.*



## Department Structure



## 2. Strategic Context

### 2.1 National Well-being Goals

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 are designed to maximise our contribution to the national shared vision goals (Appendix 1b).

### 2.2 Local Government and Elections (Wales) Act 2021.

The new duties of this Act apply to the self-assessment of 2021/22 – see **Appendix 2**

### 2.3 The Council's [Corporate Strategy 2018-23](#) (incorporating Our Well-being Objectives 2021/22)

Well- Being Objective	ICT & Corp Policy	Legal & Admin	People Mgt	Regeneration	Direct Reports
<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. Support and improve progress, achievement, and outcomes for all learner	✓			✓	
<b>Live Well</b>					
4. Tackle poverty by doing all we can to prevent it, helping people into work and improving the lives of those living in poverty	✓	✓	✓	✓	
5. Create more jobs and growth throughout the county	✓	✓	✓	✓	
6. Increase the availability of rented and affordable homes		✓		✓	
7. Help people live healthy lives (tackling risky behaviour and obesity)					
8. Support community cohesion, resilience & safety	✓	✓			
<b>Age Well</b>					
9. Support older people to age well and maintain dignity and independence in their later years	✓	✓			
<b>In a Healthy and Safe Environment</b>					
10. Look after the environment now and for the future	✓	✓		✓	
11. Improve the highway and transport infrastructure and connectivity	✓	✓			
12. Promote Welsh Language and Culture	✓	✓	✓		✓
<b>In addition a Corporate Objective</b>					
13. Better Governance and Use of Resources	✓	✓	✓	✓	✓

📌 See [How HOS join up to deliver Well-being Objectives](#) and 📌 [the steps of each WBO](#)

## 2.4 The PSBs [Carmarthenshire Well-being Plan - The Carmarthenshire We Want \(2018-23\)](#)

### **How is the Department contributing to the Public Services Board (PSB) Well-being Plan?**

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. The current Carmarthenshire Well-being Plan objectives are as noted below, and our departmental contributions are as follows:

#### **Healthy Habits: people have a good quality of life, & make healthy choices about their lives & environment**

Due to the pandemic, this group has not been actively meeting. Public health colleagues have rightly been focusing their attention on COVID-19 response and recovery. This objective will be re-considered as the new well-being assessment is developed.

#### **Early Intervention: to make sure that people have the right help at the right time; as & when they need it**

Due to the pandemic, this group has not been actively meeting. Public health colleagues have rightly been focusing their attention on COVID-19 response and recovery. This objective will be re-considered as the new well-being assessment is developed.

#### **Strong Connections: strongly connected people, places & organisations that are able to adapt to change**

The PSB Support Team has support the work of the Strong Connections Delivery Group. As a result of the pandemic there has been a renewed focus on support and co-ordination of Volunteers and the Strong Connections Group has undertaken a piece of work to look at developing a Volunteering Strategy for the county.

#### **Prosperous People and Places: to maximise opportunities for people and places in both urban and rural parts of our county**

The PSB Support Team hosted a Welsh Government Foundational Economy Challenge Fund project looking at public sector food procurement. The project looked at current public sector food procurement arrangements as well as local food supply chain capacity. The PSB will continue to develop this area of work as a key priority going forward.

## 2.5 Legislation Those highlighted in bold apply to ALL

### **Administration & Legal**

Local Government Act 1972 / Local Government & Housing Act 1989

Political Balance Regulation 1990

LG Wales Measure 2011

Local Government and Democracy Wales Act 2013

Local Government Act 2000

The Local Authorities (Executive Arrangements) (Functions and Responsibilities) (Wales) Regulations 2007

The Local Authorities (Model Code of Conduct) (Wales) (Amendment) Order 2016 2008 order Joint Committees

#### **Well-being of Future Generations (Wales) Act 2015**

#### **Local Government and Elections (Wales) Act 2021**

The Local Authorities Standing Orders Wales Regulations 2006 as amended

The South West Wales Corporate Joint Committee Regulations 2021

And all Local Government related legislation

### **ICT & Corporate Policy**

#### **UK General Data Protection Regulation**

#### **Data Protection Act 2018**

#### **Welsh Language Standards under s44 Welsh Language (Wales) measure 2011**

#### **Equality Act 2010**

#### **Freedom of Information Act 2000**

Environmental Information Regulations 2004

Section 60 of the Local Government (Wales) Act 1994 - (relating to records management)

Crime & Disorder Act (1998)

National Violence Against Women, Domestic Abuse and Sexual Violence (Wales) Act

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<b>People Management</b>
All Employment Legislation
<b>Regeneration</b>
Landlord and Tenant Act 1954 Land Compensation Acts of 1961 and 1973 Planning and Compensation Act 1991 Agricultural Holdings Act 1986 Housing Act 1985 and 1988 Leasehold Reform Act
<b>Business and Executive Board Support</b>
<b>Electoral and Registration</b>
Electoral Registration and Administration Act 2013 Senedd and Election (Wales) Act 2020 The Registration of Births, Deaths and Marriages Regulations 1968 Birth and Death Registration Act 1953 Civil Partnerships, Marriages and Deaths (Registration etc) Act 2019
<b>Media and Marketing</b>

## 2.6 Our Own Strategies and Policies

### Directory

<b>Administration and Legal</b>
<a href="#">Council Constitution</a> <a href="#">Annual Review of the Constitution</a>
<b>ICT and Corporate Policy</b>
Welsh Language Promotion Strategy Strategic Equality Plan County of <a href="#">Carmarthenshire's Well-being Plan</a> 2018-23 Corporate Strategy (incorporating Well-being Objectives) The Digital Technology Strategy 2021-2024 <a href="#">The Digital Transformation Strategy</a> The Digital Schools Strategy Complaints Policy Performance Management Framework
<b>People Management</b>
Our People Strategy Learning and Development Policy Health and Safety Policy
<b>Regeneration</b>
<a href="#">Economic Recovery Plan</a> (April 2021) The Action Plan has been distributed /embedded in Service Business Plans with actions/measures abbreviated as ERP <a href="#">Moving Forward in Rural Carmarthenshire</a> The Action Plan has been distributed /embedded in Service Business Plans with actions/measures abbreviated as MFR <a href="#">Net Zero Carbon</a> The Action Plan has been distributed /embedded in Service Business Plans with actions/measures abbreviated as NZC Corporate Asset Management Plan Acquisition and disposal of property policy
<b>Business and Executive Board Support</b>
<b>Electoral and Registration</b>
<b>Media and Marketing</b>
Social Media Strategy Media Protocol



## 3. Summary Divisional Plans

The following Summary Divisional Plans are included:

### **1. Administration & Legal Division**

### **2. ICT & Corporate Policy Division**

### **3. People Management Division**

### **4. Regeneration Division**

### **5. Direct Reports:**

- **Business and Cabinet Support**
- **Electoral and Registers**
- **Media and Marketing**

# Administration & Legal Summary Divisional Plan

Head of Service: Linda Rees-Jones

## Divisional Profile

Our Division has 46.5 staff, 34.5 in the legal service and 12 FTE and one 20 hours pw. in the democratic service. As a Division we ensure legality and probity in the Council's decision-making. We work within a statutory framework governing such things as the way meetings are run, the way decisions are taken and the legislation behind each decision which needs to be taken.

We handle the arrangements for all our democratic meetings in-house, as well as providing democratic and / or Monitoring Officer support and advice to various partnerships such as the Wales Pension Panel Joint Governance Committee and the Police and Crime Panel.

On the legal front we aim to handle as much of the legal work needed by the Authority in-house as we can, although there will be occasions when we need to put some legal work out. We have robust arrangements in place for sending work to external lawyers.

As a result of the Covid 19 pandemic, and new rules relaxing the requirements around the way meetings are held, Carmarthenshire's Democratic Process has changed significantly since June 2020 with all meetings currently being held virtually. As we move into 2022/23, and as coronavirus rules allow, we anticipate moving to hybrid meetings, whereby some members will attend meetings physically and others remotely, with the public also being able to attend physically or remotely. We already have the systems in place ready for that move.

The Local Government and Elections (Wales) Act 2021 has already, or will shortly, bring new democratic provisions into force, and we have been and are constantly revising the Authority's Constitution to capture those provisions. Amongst the changes we will see will be a petition scheme, the production of an easy guide to the Constitution, a new duty on the leaders of the political groups to promote good standards of conduct by their members, and the potential for various office holders to job-share.

Finally, we are making arrangements for the local government elections 2022. In July 2021 the Council signed up to being a "Diverse Council" so have committed to encouraging more women and people from under represented groups to consider standing as candidates at the May 2022 elections, and we are actively working up the Action Plan to support that commitment. A significant piece of work following the elections will be to work out the political balance make up of the Council and design and deliver the induction programme for both new Members and returning members, introduce them to the Democratic process and the technological skills they will need to attend our meetings.



## Self-assessment of performance in 2021/22

### **Legal Services**

- Generally speaking the service has performed well during this period despite significant challenges. Officers have continued to work closely with and support their client departments and elected members.
- However the service has needed to make greater use of external legal support than is usually the case.
- In certain specific practice areas the service has found it more challenging to meet client expectations regarding the delivery of requested advice and support.
- The level of complaints received about the service continues to be very low compared to the volume of matters being dealt with.
- No court deadlines have been missed.
- Legal documents for key regeneration projects have been provided in a timely manner and those legal transactions completed as soon as it was reasonably practical to do so.
- The need for increased use of external legal support has largely been focussed in specific practice areas

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- During the period covered by this assessment the service has handled a total of 5,737 legal matters across the full range of the authority's functions and departments.
- During the period 1st April 2021 to 1st November 2021, 862 new matters were sent to the service to deal with.
- A total of 108 cases are currently being handled for the authority by external solicitors. Many of these were referred before April 2021.

### **Land Charges**

- The housing market has recovered well from the pandemic and the number of search requests received has now largely returned to pre-pandemic levels.
- During the period 1st April 2021 to 1st November 2021 a total of 2,117 Official Land Charges searches were received and processed. The average time taken to respond to an official search was 5 days.
- A decision by the UK government to accelerate the implementation of its programme to transfer all local land charges registers to HM Land Registry now means that Carmarthenshire's register is scheduled to migrate to HMLR in 2022/2023. Land Charges staff, along with colleagues from ICT, Planning and Building Control and Environmental Health have therefore working closely with HMLR staff to bring this about. Once the migration is completed, the Council's land charges section will still have a statutory responsibility to keep the land charges register up to date, but the register itself will be hosted online by HMLR.

### **Democratic Services**


- Whilst virtual meetings have now been ongoing since June 2020 it should be noted that remote attendance does provide an additional strain on existing staffing resources plus there is also a need for additional IT support.
- The role of Committee Chair has also become more challenging and more resources are required behind the scenes to make sure everything runs smoothly.
- Webcasting public meetings has resulted in a substantial increase in workload for the team, from 50 webcasts a year, to 98 in 2020/21 a significant challenge for the team and our existing resources. We anticipate that the number of meetings webcast during 2021/22 will be approximately 200 as per the current calendar of meetings for the year, and this will be a further challenge for the team going forward.
- The new statutory requirement to publish decisions within a set number of days has put additional pressure to ensure that these legal deadlines are met.
- The Local Government and Elections (Wales) Act 2021 required us to make a number of revisions to the Council Constitution during 2021 and further revisions will need to be made as and when elements of the Act come into force.
- In 2020/21 there were 3,464 Councillor Enquiries. processed and following the Education (Admission Appeals Arrangements)(Wales)(Coronavirus) (Amendment) Regulations 2020 coming into force on 4 May 2020 which allowed Appeals Panels to meet remotely team processed 188 appeals from 01/04/20 to 31/03/21.

 [Links to sources of evidence \(Regulatory Reports, Member T&F, etc.\)](#)

[The Local Authorities \(Coronavirus\) Meetings \(Wales\) Regulations 2020](#)

[The Local Government & Elections \(Wales\) Act 2021](#)

[The Education \(Admission Appeals Arrangements\) \(Wales\) \(Coronavirus\) \(Amendment\) \(Amendment\) Regulations 2021](#)

 See [sources of evidence to inform self-assessment as outlined in Local Government and Elections Act 2021](#)

## Key Areas for Improvement arising from Self-assessment

(including Regulatory Report (WAO/FG), Member T&F, TIC and Consultation Findings; addressing bottom quartile results, etc.)

### Legal Services

- Independent Review of Planning Services – although this was a review of a different service, it did identify a lack of capacity within our service on S106 agreements. Additional staff resources have been secured to address this.
- To develop a set of key performance indicators for the service. **A1**

### Democratic Services

- Although not an area for improvement, changing legislation has meant that the team will need to develop its skills further by the facilitating hybrid meetings and its roll out to all Committees. **B10**
- A participation strategy and petition scheme will also be developed during the year. **B7**

★ Address & cross-reference any actions arising within the Divisional Summary Action Plan section below if applicable

## Key Divisional Risks

Risk Ref or New?	Risk score after mitigation	Identified Risk	Divisional Summary Action Plan Ref No.
		<p>All risks can be profiled in the Divisional Plan. In this departmental plan the Division should identify:</p> <ol style="list-style-type: none"> <li>1. Any Risks that it has on the Corporate Risk Register</li> <li>2. Significant Risks (scored 16+)</li> <li>3. For Service High Risk (scored 12+), see Divisional Plan</li> </ol>	
CRR190031	12	<p><b>A CMT Risk CRR190031</b> - Failure to comply with the requirements of the Local Government and Elections (Wales) Act</p> <ul style="list-style-type: none"> <li>• petition scheme being developed</li> <li>• Collaborative working with Principal councils - awaiting further guidance from WG</li> <li>• Corporate Joint Committees - Guidance awaiting from WG - LG engagement will be expected in developing regulation</li> <li>• webcasting of meetings arrangements in place and work Team ongoing on developing the arrangements for moving from remote attendance meetings to hybrid meetings</li> </ul>	<b>B7+8+9</b>
New	-	County Hall requires emergency electrical work, and close liaison will have to be maintained between DSU and the Contractor to ensure smooth running of the scheduled meetings	<b>B8</b>
New	-	Hybrid/Virtual meetings being resource intensive and sufficient resources to deliver the democratic process – for a multi-location meeting we will need a Democratic Services Officer in the Chamber to assist the Chair with running the meeting, participants and voting and a second Democratic Services Officer to host and run the zoom meeting, plus an officer to handle the broadcasting of the meeting live in dual language. To achieve this we will therefore need at least 3 Democratic staff as a minimum for hybrid meetings	<b>B9+10</b>

★ All Corporate and Significant Risks must be addressed in the Divisional Summary Action Plan below

## 5 Ways of Working

<b>1. Long Term</b>	<i>The importance of balancing short-term needs with the need to safeguard the ability to also meet <b>long term</b> needs</i>
<i>How good are we at this?</i>	<b>Strong / Partial / None</b>
Self-Assessment Review:	As a service we are expected to respond promptly to the demands placed upon us by the courts, the wider public, other council departments and elected members. However, these demands cannot always be predicted in advance. The Democratic Team, Members and Officers have developed new skills in the move to virtual meetings and this continues as we slowly return to the office and introduce multi location meetings.
Planned Improvement for 22/23 - we will: (link to action plan)	Funding for three additional solicitor posts in the social care and education team has been secured. This will ease the pressure on existing members of staff in that team and help to reduce the need to utilise external solicitors In Democratic Services we will introduce Multi-location meetings a mix of both physical and remote attendance and roll out of facilities available on the new conference system (physical meeting only). We will make arrangements for the formation of the new Council which includes arrangements for politically balanced Committees and an Induction Programme for Elected Members following Local Government Elections in May 2022. <b>B3</b>
<b>2. Prevention</b>	<i>How acting to <b>prevent</b> problems occurring or getting worse may help public bodies meet their objectives</i>
<i>How good are we at this?</i>	<b>Strong / Partial / None</b>
Self-Assessment Review:	We use management data to identify where the service has a lack of capacity and if necessary work is outsourced. Through our mandatory professional development and networking with other lawyers we monitor changes in the law which have the potential to impact upon the authority and the service. We produced guidance for virtual meetings and all members received Scrutiny and webcast training in readiness for Scrutiny Committees being webcast.
Planned Improvement for 22/23 - we will: (link to action plan)	In Legal Services we will develop a suite of performance measures .We will encourage Scrutiny members to set their own agendas and prioritise items for discussion. <b>A1</b>
<b>3. Integration</b>	<i>Considering how well-being objectives may <b>impact</b> upon each of the well-being goals, on their other objectives, or on the objectives of other public bodies</i>
<i>How good are we at this?</i>	<b>Strong / Partial / None</b>
Self-Assessment Review:	The service ensures decisions are taken through the democratic process in a timely manner. A new integrated impact assessment and committee report template is being development and will be rolled out in 2022.
Planned Improvement for 22/23 - we will: (link to action plan)	To continue to work with departments and keep Forward work plans for Council, Executive, Scrutiny etc under review. DSU will work with Departmental Report Co-ordinators on ensuring the new Committee templates are completed correctly.
<b>4. Collaboration</b>	<i>Acting in <b>collaboration</b> with any other person (or different parts of the body itself) that could help the body meet its well-being objectives</i>
<i>How good are we at this?</i>	<b>Strong / Partial / None</b>
Self-Assessment Review:	We work collaboratively within the Authority and externally and is responsible for hosting and servicing joint governance arrangements I.e Wales Pension Partnership, Dyfed Powys Police and Crime Panel and the new Education Partnership.
Planned Improvement for 22/23	To continue to work with other organisations in Joint arrangements.

<b>5. Involvement</b>	<i>Importance of <b>involving</b> people with an interest in achieving the well-being goals, and ensuring that those people reflect the diversity of the area</i>
<i>How good are we at this?</i>	<b>Strong / Partial / None</b>
Self-Assessment Review:	All our actions are driven by the instructions we receive from our clients. The decision to webcast all meetings has allowed the public greater access to meetings, allowing them to view from home rather than travelling to the meeting Venue. A public participation strategy and separate petition scheme are also being developed and will be in place by May 2022. <b>B7</b>
Planned Improvement for 22/23 - we will: (link to action plan)	The performance measures that we intend to introduce will include measures relating to client satisfaction with how well we provide the service to them The development of a formal petition scheme and public participation strategy for the Democratic Process. <b>B7</b>

## Divisional Summary Action Plan

Ref #	Key Actions and Measures	By When or EOY Target?	By Who? Responsible Officer	Scrutiny	WBO Ref & Step WBOXX/a
<b>A Legal Services and Land Charges</b>					
1	To develop a set of key performance indicators for the Legal Services and Land Charges service.	Mar 2023	Robert Edgecombe	P&R	WBO 13
2	To collaborate with HM Land Registry (HMLR) so as to enable HMLR to become the registering authority for Local Land Charges for the County of Carmarthenshire in accordance with the provisions of Schedule 5 of the Infrastructure Act 2015.	Timeline to be prescribed by HMLR	Robert Edgecombe	P&R	WBO 13
<b>B Democratic</b>					
<b>Arrangements for May 2022 Elections</b>					
3	Training and induction programme for returning and new members.	Sept 2022	Gaynor Morgan	P&R	WBO 13
4	Compiling new members details and working with Group Leaders and unaffiliated members on the political balance arrangement for the new Council, which includes establishing and agreeing membership of the Cabinet and politically balanced committees, Advisory Panels and representation on outside bodies.	May/ June 2022	Gaynor Morgan	P&R	WBO 13
5	Statutory survey of members on the timings of meetings.	Sept 2022	Gaynor Morgan	P&R	WBO 13
6	Update database to revise Electoral Wards (58 to 51, with 22 of those being multi-member wards) and creation of an additional elected member.	Sept 2022	Gaynor Morgan	P&R	WBO 13
<b>Local Government and Elections (Wales) Act 2021</b>					
7	Production of a Petition Scheme and public participation Strategy.	May 2022	Gaynor Morgan	P&R	WBO 13
8	Legal requirement to allow members to attend either physically or remotely (multi-location meetings).	In force	Gaynor Morgan	P&R	WBO 13
9	Broadcasting of Council meetings.	May 2022	Gaynor Morgan	P&R	WBO 13
<b>Delivery of the democratic process</b>					
10	Committee support and delivery of the democratic process through multi-location meetings.	Mar 2023	Gaynor Morgan	P&R	WBO 13
11	Elected member support to allow elected representatives to carry out their councillor role. (Increase in elected members – from 74 to 75 from May 2022).	Mar 2023	Gaynor Morgan	P&R	WBO 13

### Divisional Profile

#### **ICT Services**

This Business Unit has three key strategies underpinning our service delivery. Namely the Digital Transformation Strategy 2021-2024, the Digital Technology and Digital Schools Strategies; which both are currently under revision this year. Key areas of work covered by the unit are as follows:

- Core Network and Infrastructure (Data and Telephony)
- Facilitate the delivery of the DTSG Work Program and Funding (Digital Transformation Steering Group)
- Application Development
- Systems Support for Business-Critical Systems
- Workforce / Operational Support (Hardware / Software)
- Schools Operational and Strategic ICT Support
- I.T. Procurement function



Our purpose is to engage with and understand our customers to help them deliver effective services

#### **Corporate Policy**

This Business Unit leads on a range of corporate statutory duties and strategic requirements on behalf of the whole Council. This is done by liaising with and advising Council departments and Cabinet on a range of corporate matters. As a unit we have an agreed purpose, that being '*Getting it right: supporting, advising and challenging to ensure sustainable quality services*'. The key areas of work covered by the unit are as follows:

- **Corporate Policy** requirements relating to Equalities, Welsh language, Well-being of Future Generations, Armed Forces and Tackling Poverty.
- **Performance management and monitoring** through the implementation of the Council's Performance Management Framework.
- **Data Insight** focus on making the best use of information and intelligence to support service planning (new function established following team review in October 2021).
- **Partnership working** between public sector organisations in the County, through the Public Services Board (PSB) including community safety.

### Self-assessment of performance in 2021/22

#### **ICT Services**

Our 1st Digital Transformation Strategy 2017-2020 set out the Council's strategic digital priorities and aspirations and ensured that when the COVID-19 pandemic struck, we as an authority and our service were in a very strong position to respond and recover; as detailed in the '*Impact of COVID-19 on ICT & Corporate Policy Report*' – December 2020.

Our new Digital Transformation Strategy 2021-2024 has been approved this year which builds on the positive progress made over the last four years and aims to compliment the Authority's Action Plans and contribute towards key commitments such a Net Zero Carbon by 2030; and by exploiting the use of our digital platforms such as Microsoft Teams and Office 365 and with further technological breakthroughs over the coming years will greatly assist the Authority in meeting this commitment.

The demand on the service is ever increasing as our direct customers (service areas and departments) are pro-actively looking to transform, streamline, automate, integrate, improve their effectiveness and adopt a



'customer first' approach. A positive strength for our division is that we have been able to continue to deliver a high standard and output for our customers even through this pandemic. However, this is becoming challenging as resource / capacity is limited to meet the demand and ongoing budgetary saving expected to be delivered over the next 3 years (likely resulting in a further reduction of staff) is now presenting a risk and potential barrier to service transformation at the speed expected by our customers. This is a key area of focus as a division to ensure we continue to maintain this high-level of service and responsiveness for our customers.

We have done some excellent work and a good example of this is the Schools Sustainability Project. Total transformation of the I.T. hardware provisions across all schools from students to staff to ensure latest technology available for all; including a robust replacement programme to future-proof for years to come. The scale of the transformation has been enormous. 4,700 Windows Devices, 9,000 Chromebooks, 1,600 iPads, 750 PC's across all schools over the past year. This will ensure a more effective service support can be provisioned from ICT Services and to a higher standard.

Critically analysing ourselves and looking in-ward in an honest and transparent manner, here are some of the key reflections and areas of improvements we need to focus on, improve upon and plan for:

1. More can be done with improving our Security (Cyber) and Disaster Recovery capabilities to ensure we can be as responsive as possible in the event of any threat. Testing core infrastructure and systems recovery in the event of a disaster is critical as services depend more on technology and electronic access to their data 24/7. Invisible work not seen by our customers but is critical to ensure the operational running of the authority and effective response if any Business Continuity Plans had to be implemented. See Action A4.
2. We have a robust 'Expression of Interest' process for services to request resources and plan their digital initiatives and allow us to ensure we are continually focusing our efforts on organisational priorities. This process works well and allows us to quickly evaluate and respond to customer needs / demand. Always room to improve and give visibility of activity to our customers. There is more that can be done for wider use of a similar process for other service areas to adopt; especially those internal services when we need to draw upon each-other. See Action A1 & A6.
3. We have a robust project management and governance in place but as the service is needing to respond to day-to-day challenges and demands, does make juggling project work and support difficult to plan in a rigid/structured manner. Timescales prove challenging to hold firm to as projects stop / start regularly or the need to re-prioritise (due to an event i.e. flooding, fire, pandemic). This is an area of focus to improve upon to ensure we understand our available capacity to deliver. See Action A1.
4. Resilience in our supply chains (procurement) is a challenge. Global supply chain issues and semiconductor shortages, has made this year very challenging for sourcing hardware (laptops/tablets) and in a timely manner. With contracts in place typically with one supplier and dependence on that one supplier to obtain stock has proven challenging. To ensure our effective replacement programmes (staff, members and schools) continue to function to our high standard, more focus is needed to improve redundancy and contingency with our procurement planning.
5. Customer priorities vs internal priorities. We are very much customer focused as a service and do look to prioritise resources / capacity towards their priorities. This however, means that internal projects (usually essential / critical) do not get the same level of focus and feel more rushed. Customer projects are more visible, where internal projects are not but are vital to the running of the organisation in many cases. Better balance and thought needed as there is the risk that we will over-commit and could end up spinning too many plates. Too many customer projects and not enough capacity for a critical internal projects could impact the performance and effectiveness of the service. See Action A1 & A3.


## Corporate Policy

- The Corporate Policy team was reviewed in order to ensure it is fit for purpose to provide support, advice and challenge across all Council services as required. Review completed by 1 October 2021 with new operational arrangements being implemented.
- In October 2021, the Cabinet agreed for the Council to re-affirm its commitment to the Armed Forces community by signing the updated Armed Forces Covenant.
- Developing and engaging with a range of service areas on the introduction of the *new Integrated Impact Assessment* and committee cover sheet process has been a significant undertaking. This new approach was implemented from January 2022 with further development work to be undertaken during 2022-23 to support the embedding and adding value as part of the Council's decision making. **B13**
- Engagement with the ONS on the delivery of the Census 2021 was led by the team. A range of council services supported the work including marketing and media, library services, revenues, mapping etc. The focus of the team will now shift from delivery to analysis and distribution of key Census 2021 statistics as they become available from March 2022 onwards. **B22**
- The introduction of a refreshed and re-focused Council *Performance Management Framework* in line with new performance and governance arrangements in the Local Government and Elections (Wales) Act 2021. The development of the new Framework and embedding new arrangements such as the Engagement and Assurance Sessions and the Quarterly Performance Monitoring sessions have been key in responding to service development needs relating to business planning and performance monitoring. Some of these performance monitoring issues were raised as part of an Audit Wales review into planning services and the new arrangements respond to some of the shortcomings identified with stronger links established between performance, finance, risk and other key service intelligence sources. **B20**
- Measuring performance has been a challenge during the pandemic with many national data sources and comparative data being paused. However, this has also highlighted some weakness in our local performance measures data which we will aim to strengthen as part of the 2022-23 business planning and performance monitoring cycle.
- The Welsh Language Commissioner has published the 2020-2021 Assurance Report - '*Stepping Forward*' report, which focuses on the effect the COVID-19 pandemic has had on the provision of services and the experiences of Welsh speakers. The report considers the difficulties identified by public sector organisations as they responded to the pandemic as well as highlighting effective practice identified
- Work on developing the Council's *tackling poverty plan* has progressed with a number of cross-service sessions held to improve alignment and understanding of support services the Council currently provides. There is a need to provide greater focus to this work as a key priority for the Council as part of its pandemic with the pace of response needing to increase. Development and monitoring of an action will support this going forward into 2022-23. **B7**
- Handling and response to complaints has been well maintained despite services facing significant pressures. The *new Complaints Policy* was introduced with increased performance monitoring now being implemented however this remains a key area of development and links with the performance and data insight team functions. An escalation procedure has been introduced as a result of some issues in terms of timeliness of response by services to complaints and progressing investigations. Progress will continue to be monitored regularly.
- The PSB *Well-being Assessment* has been undertaken and identified a key set of priorities for the county however it is recognised that further development work and analysis needs to be undertaken to improve our understanding and response to certain issues, especially on a more localised geographical basis.
- The PSB has continued to meet virtually and has taken forward some key development in terms of partner engagement in pandemic recovery plans, the foundational economy local food procurement project (which was supported with dedicated officer capacity) and support for undertaking the well-being assessment. However, progress with some of the original delivery groups has been paused as a result of the pandemic with key staff from partner organisations being re-deployed for **Tudalen 186**

aid pandemic response. This has inevitably impacted on the PSBs ability to make progress against it's original objectives. This will be reviewed and re-developed as part of the re-refresh of the PSB well-being plan by May 2023. **B8**

- There has been significant development on the partnership approach to embedding the new *Contest Cymru Framework (counter terrorism)* within the Council and across partners. The team also lead on the regional Contest arrangements with a significant amount of engagement with regional and national partners as the work evolves. The introduction of the framework has provided a firmer basis to develop planning with further work to be taken forward during 2022-23. The team lead on the Council's response to the UK Government Protect Duty consultation and have established the Carmarthenshire Protective Security Preparedness Group which will pave the way for the introduction of the Protect Duty during 2022-23. There is a need to firm up the Carmarthenshire and regional action plans in certain elements of each of the 4Ps (prevent, protect, prepare, pursue) and ensure full engagement and response of relevant services within the Council and across partners going forward. **B11**

 [Links to sources of evidence \(Regulatory Reports, Member T&F, etc.\)](#)

 [See sources of evidence to inform self-assessment as outlined in Local Government and Elections Act 2021](#)

## Key Areas for Improvement arising from Self-assessment

(including Regulatory Report (WAO/FG), Member T&F, TIC and Consultation Findings; addressing bottom quartile results, etc.)

### **ICT Services**

1. Due to the challenges presented and required response due to the COVID pandemic, our 2<sup>nd</sup> strategy had to be delayed by 1 year. However, this delay has presented an opportunity to improve upon and align our 2<sup>nd</sup> Digital Transformation Strategy 2021-2024 with our 2<sup>nd</sup> Digital Technology Strategy 2021-2024, and Digital Schools Strategy 2021-2024 going forward. **A1**
2. As a service, we will look to improve how customers contact our ICT Helpdesk by utilising the very latest technology in RPA (Robotics Process Automation), Artificial Intelligence and ChatBOTS; and by promoting more self-service capabilities.
3. The need to continue to exploit the use of Microsoft Teams, SharePoint and Office365 for all areas across the council to allow them to transform their services to be more effective. **A3**
4. Ensure ICT Services maintains a high profile, both internally and externally with key stakeholders and focuses on ensuring sustainable and resilient digital technologies are utilised. Further promote the importance of the Expression of Interest process for requesting resources and prioritising projects as well as promoting the use wider for other services to adopt. **A3**
5. To strengthen our approach to Disaster Recovery and work with key service areas to ensure their Business Continuity adequately addresses their ICT requirements; aligning with the Corporate Contingency Planning Working Group. The need to ensure continued focus towards testing and mitigating risks. **A4**
6. We will ensure to focus our priorities and technical strategy towards projects that contribute to the Net Zero Carbon by 2030 commitment.
7. Need to review our procurement processes to ensure that we have improved redundancy and contingencies in place if there are issues with supply chains or global issues to ensure an effective replacement programme for staff, members and schools.
8. To improve on prioritising and planning our internal projects, resources / capacity in conjunction with customer commitments.

### **Corporate Policy**

9. We will need to reset the Council's 'Moving Forward in Carmarthenshire 5 Year Plan', Corporate Strategy and revisit our Well-being Objectives. **B5**
10. Following the review of Corporate Policy undertaken in 2021 one of the key areas of development identified for the business unit is to further improve the Council's use of data, information and intelligence to inform service planning and development, including the use of information

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from corporate complaints. We will be looking to embed this approach through the new Data Insight Team. **B14**

11. Rebuild and recover community based Welsh medium activities in partnership with the County Welsh language Strategic Forum. **B2 & B3**
12. Re-visit the delivery group approach for PSB activity and progress against its well-being plan objectives. **B8**
13. Developing the current systems used to handle complaints related information in order to be able to draw greater performance intelligence will be a development area moving forward. **B9**
14. Continually review and evolve the Council's approach to business planning and performance monitoring. **B13**

★ Address & cross-reference any actions arising within the Divisional Summary Action Plan section below if applicable

## Key Divisional Risks

Risk Ref or New?	Risk score after mitigation	Identified Risk All risks can be profiled in the Divisional Plan. In this departmental plan the Division should identify: 1. Any Risks that it has on the <b>Corporate Risk Register</b> 2. <b>Significant Risks</b> (scored 16+) 3. For <b>Service High Risk</b> (scored 12+), see <b>Divisional Plan</b>	Divisional Summary Action Plan Ref No.
CRR190034	15	Cyber Risk: Failure to adequately invest in cyber resilience from capital funds could leave the Authority vulnerable to cyber-attacks.	<b>A4</b>
CRR190051	12	COVID-19: Strategic failure to recover from COVID-19 impact and non delivery of departmental objectives <i>Recovery Group</i>	<b>B20</b>
CRR190060	20	Critical Authority-wide IT systems <ul style="list-style-type: none"> <li>• Main server and back-up server at different sites</li> <li>• MS Database SQL expertise in IT department</li> <li>• Cloud systems</li> </ul>	<b>Mitigated</b>
New Risk	-	Failure to follow due consideration and due diligence when completing Integrated Impact Assessment, may lead to challenge in the decision-making process and by external stakeholders	<b>B6</b>
New Risk	-	Non-Office Staff being equipped with technology. Potential for 3,000-4,000 non-office staff being equipped with technology and dependence on ICT Services for support. Potential impact on the service deliver and support capabilities.	<b>A1</b>
New Risk	-	Lack of Resources to keep up with increasing demand. We effectively deliver with current resource / capacity but longer-term unlikely to keep up with volume in demand and speed of change expected by our customers.	<b>A1</b>

★ All Corporate and Significant Risks must be addressed in the Divisional Summary Action Plan below

## 5 Ways of Working

<b>1. Long Term</b>	<i>The importance of balancing short-term needs with the need to safeguard the ability to also meet <b>long term</b> needs</i>
<i>How good are we at this?</i>	<b>Strong</b>
Self-Assessment Review:	<ul style="list-style-type: none"> <li>• Our Digital Transformation Strategy, Digital Technology Strategy and Digital Schools Strategy will modernise the way we interact with citizens and continue to improve service delivery. To also have the potential to transform the county and the lives of our residents, businesses and communities as well as allowing the council to generate long-term saving and efficiencies.</li> <li>• The Council's Corporate Strategy and Well-being Objectives sets out a direction of travel for the whole Council over the period of the administration whilst also setting longer-term development goals.</li> <li>• The introduction of the Council Performance Management Framework and Data Insight Team during the year will support the re-invigoration of longer-term thinking across the organisation.</li> </ul>
Planned Improvement for 22/23 - we will: (link to action plan)	<ul style="list-style-type: none"> <li>• We have a robust Forward Work Programme in place that will continue with the service transformations, on-line service provisions to our residents and businesses.</li> <li>• We look to exploit the use of Microsoft Teams, SharePoint and Office365 for all areas across the council to allow them to transform their services to be more effective.</li> <li>• Through the Data Insight Team, we will focus on improving the use of data and information to inform service planning and development across the Council.<b>B14</b></li> <li>• Embedding the new integrated impact assessment arrangements as part of decision making across the Council will support longer-term thinking.<b>B6</b></li> <li>• During work to develop the PSB's new Well-being Plan, planning for the long-term will be taken more into account.<b>B8</b></li> </ul>
<b>2. Prevention</b>	<i>How acting to <b>prevent</b> problems occurring or getting worse may help public bodies meet their objectives</i>
<i>How good are we at this?</i>	<b>Strong</b>
Self-Assessment Review:	<ul style="list-style-type: none"> <li>• We will continue to review our processes and delivery models to reduce failure demand and ensure we provide a more efficient service to our customers.</li> <li>• A robust change management process assists with preventing unnecessary failure.</li> <li>• Ensuring a strong response to the embedding of statutory duties and requirements across a range of policy areas has worked well during the year.</li> </ul>
Planned Improvement for 22/23 - we will: (link to action plan)	<ul style="list-style-type: none"> <li>• We will look to improve how customers contact our ICT Helpdesk and reduce failure demand by utilising the very latest technology in RPA (Robotics Process Automation), Artificial Intelligence and ChatBOTS; and by promoting more self-service capabilities.</li> <li>• We will continue to test and improve-upon our Disaster Recovery capabilities to mitigate risk as much as possible and ensure the authority can respond quickly to any threat to ensure the operational running of the authority and effective response if any Business Continuity Plans had to be implemented.<b>A4</b></li> <li>• We will continue to ensure a robust approach to Cyber security and that sustainable solutions are implemented for Information Governance.<b>A4</b></li> <li>• We will be reviewing our various security and Information Governance Policies in 21/22 to ensure they are fit for purpose.<b>A4</b></li> <li>• Focus on improving the use of data and information to inform service planning and development.<b>B14</b></li> <li>• Through the Data Insight Team, we will focus on improving the use of data and information to inform service planning and development across the Council.<b>B14</b></li> <li>• Embedding self-assessment approaches related to performance management.<b>B13</b></li> </ul>
<b>3. Integration</b>	<i>Considering how well-being objectives may <b>impact</b> upon each of the well-being goals, on their other objectives, or on the objectives of other public bodies</i>
<i>How good are we at this?</i>	<b>Partial</b>
Self-Assessment Review:	<ul style="list-style-type: none"> <li>• We will align all digital technology to the needs of the teachers, learners, the curriculum, and the Digital Competence Framework.</li> </ul>

	<ul style="list-style-type: none"> <li>We will continue to strengthen our relationship and work more closely with Health colleagues to develop the Integrated/Regional Hub's and ensure the very latest Digital Technology is utilised across organisations.</li> <li>We interact across all areas of the authority and at all levels to allow us to better understand their business needs to help improve upon their effective delivery of their services to their customers.</li> <li>Embedding corporate challenge and collaboration across all Council services as part of the Council's Performance Management Framework.</li> </ul>
Planned Improvement for 22/23 - we will: (link to action plan)	<ul style="list-style-type: none"> <li>We will act as an enabler and vehicle for transforming the way services across the Council are delivered to customers by increasing opportunities for accessing council services via digital technologies.<b>A3</b></li> <li>We will continue to support the implementation of the Integrated Impact Assessment requirement across the Council's decision-making processes to ensure compliance with a range of statutory duties, including the Well-being of Future Generations Act.<b>B6</b></li> </ul>
<b>4. Collaboration</b>	<i>Acting in <b>collaboration</b> with any other person (or different parts of the body itself) that could help the body meet its well-being objectives</i>
<i>How good are we at this?</i>	<b>Strong</b>
Self-Assessment Review:	<ul style="list-style-type: none"> <li>We will continue to facilitate and underpin collaboration locally, regionally and nationally through the intelligent deployment of digital technology.</li> <li>We will continue to underpin key digital initiatives from the Swansea Bay City Deal.</li> <li>Through the work of the PSB there are several projects being undertaken which enables greater scope for collaboration on core service provision e.g., Multi-agency Hubs.</li> <li>The Complaints team have formed positive working relationships with all Council divisions and departments.</li> </ul>
Planned Improvement for 22/23 - we will: (link to action plan)	<ul style="list-style-type: none"> <li>We will continue to strengthen our regional and national relationship and continue participation vis key working and strategic groups such as SOCITM Wales, PSBA etc.</li> <li>We will continue to work closely with the Digital Programme Manager / Lead at Swansea Bay City Deal to ensure close alignment of digital projects and regional/national projects.<b>A1</b></li> <li>We will implement innovative digital solutions that will enable increased collaboration &amp; facilitate organisations to work seamlessly together &amp; further exploit existing tools such as Microsoft Teams and Office 365 to facilitate greater collaboration in a secure manner around information governance &amp; data protection.</li> <li>We will implement innovative digital solutions that will enable increased collaboration and facilitate organisations to work seamlessly together.</li> <li>Prepare PSB Well-being Plan on a multi-agency basis to identify future priorities for collaborative working in response to the findings of the Well-being Assessment.<b>B8</b></li> <li>Strengthen links with divisions in terms of the new Complaints Policy, ensuring clear communication of process and accountability.<b>B9</b></li> </ul>
<b>5. Involvement</b>	<i>Importance of <b>involving</b> people with an interest in achieving the well-being goals, and ensuring that those people reflect the diversity of the area</i>
<i>How good are we at this?</i>	<b>Partial</b>
Self-Assessment Review:	<ul style="list-style-type: none"> <li>To adopt a 'customer first' approach when working with our service areas when reviewing and transformation their services.</li> <li>The team supports several key involvement networks such as the Ageing Well Carmarthenshire Network, Disability Partnership, Equalities Carmarthenshire and Town &amp; Community Council liaison forum.</li> </ul>
Planned Improvement for 22/23 - we will: (link to action plan)	<ul style="list-style-type: none"> <li>We work with Marketing &amp; Media to ensure citizens are a primary focus when developing on-line solutions and end-to-end / customer-to-back-office processes.</li> <li>Work with Marketing &amp; Media and Democratic Services to embed the Council wide involvement, participation, and consultation framework.</li> <li>Through the Data Insight Team, we will focus on improving the use of data and information gathered through the Council's involvement approaches to inform service planning and development across the Council.<b>B14</b></li> </ul>

## Divisional Summary Action Plan

Ref #	Key Actions and Measures	By When or EOY Target?	By Who? Responsible Officer	Scrutiny	WBO Ref & Step WBOXX/a
<b>A ICT</b>					
1.	We will in line with our Digital Transformation Strategy 2021-2024, continue to engage, prioritise and implement department needs to allow them to deliver effective services.	31/03/2023	Julian Williams	P&R	WBO13A
2.	We will continue to improve the condition, suitability and ICT resources within schools and ensure all schools have the latest digital technologies and infrastructures in place to deliver 21st century education.	31/03/2023	John Williams	ECS or P&R	WBO3C
3.	Provide responsive ICT support and expertise to all staff, elected members and schools at all times. To ensure they have a safe, secure, up-to-date and fit for purpose I.T. provision to carry out their work and duties effectively.	31/03/2023	John Williams	P&R	WBO13A
4.	We will ensure a robust approach to Cyber security and sustainable solutions are implemented for Information Governance.	31/03/2023	John Williams	P&R	WBO13A
5.	We will act as an enabler and vehicle for transforming the way services across the Council are delivered to customers by increasing opportunities for accessing council services via digital technologies.	31/03/2023	Julian Williams	P&R	WBO13A
6.	We will ensure to align and focus to implementing solutions and infrastructure projects that assist and contribute to the Net Zero Carbon by 2030 commitment.	31/03/2023	John Williams	P&R	WBO10-C
	% use of the ICT Self Service helpdesk ICT/002	TBC	John Williams	P&R	WBO13-B4
	Number of Transactional Council Services available to the public online ICT/003	TBC	Julian Williams	P&R	WBO13-A
	% of employee laptops with 4GB of memory (RAM) or under ICT/009	TBC	John Williams	P&R	WBO13-B5
7.	We will fulfil our statutory obligation under the Data Protection Act and ensure we are up to date with revisions in law being introduced in the UK.	31/03/2023	John Williams	P&R	WBO13-B2
	% of Freedom of Information Act request responded to in 20 working days 2.1.1.17	TBC	John Tilman	P&R	WBO13-B2
	Number of appeals to the Information Commissioner under the Act 2.1.1.18	TBC	John Tilman	P&R	WBO13-B2
	Number of appeals resulting in the Council being compelled by the Commissioner to release information that had been withheld 2.1.1.19	TBC	John Tilman	P&R	WBO13-B2
<b>B Corporate Policy</b>					
8.	We will drive and monitor progress to support implementation of the recommendations of the Moving Rural Carmarthenshire Forward report through the Rural Affairs Advisory Panel and consider any new issues as they arise. (14717)	31/03/2023	Gwyneth Ayers	P&R	WB05-C
9.	We will review and refresh the County's Welsh Language Promotion Strategy considering the progress to date and the Census 2021 results, which are expected during the year.	31/03/2023	Gwyneth Ayers	P&R	WB012-C
10.	We will review the current Internal Use of the Welsh language policy and prepare a framework to support departments to increase the use of the Language in administration.	31/03/2023	Gwyneth Ayers	P&R	WB012-C
	% of staff at Level 3 of the Welsh language skills framework	TBC	Gwyneth Ayers	P&R	WB012-C
	% of posts recruited at the required level of the advertised post	TBC	Gwyneth Ayers	P&R	WB012-C
	Number of staff following Welsh language skills learning and improvement courses	TBC	Gwyneth Ayers	P&R	WB012-C

Ref #	Key Actions and Measures	By When or EOY Target?	By Who? Responsible Officer	Scrutiny	WBO Ref & Step WBOXX/a
11.	We will ensure the Council fully embeds the new requirements relating to performance and governance of the Local Government and Elections Act and align them to our current duties relating to the Well-being of Future Generations Act.	31/03/2023	Gwyneth Ayers	P&R	WBO13-B3
12.	Following local government elections in May 2022 we will publish a revised Corporate Strategy incorporating Well-being Objectives.	31/07/2022	Gwyneth Ayers	P&R	WBO13
13.	We will continue to support and monitor the implementation of the Integrated Impact Assessment requirement across the Council's decision-making processes to ensure compliance with a range of statutory duties including the new Socio-Economic Duty.	31/03/2023	Gwyneth Ayers	P&R	WBO13-B7
14.	We will implement and update the Tackling Poverty Plan to respond to the current challenges faced by residents and communities.	30/06/2022	Gwyneth Ayers	P&R	WBO4-A
15.	We will lead the review and refresh of the Public Service Boards (PSBs) Well-being Plan.	01/05/2023	Gwyneth Ayers	P&R	WBO13-B2
16.	We will work with and support departments to ensure ownership of the Council Complaints Policy.	31/03/2023	Gwyneth Ayers	P&R	WBO13-B7
	Number & % of complaints completed within statutory deadline	Target TBC	Kate Harrop	P&R	WBO13-B2
	Number of complaints relating to Welsh Language Standards received	Target TBC	Kate Harrop	P&R	WBO13-B7
17.	We will ensure that we embed any relevant recommendations from the Equalities & Diversity (Black Asian Minority Ethnic) Task & Finish Group into the Council's Strategic Equality Plan.	31/03/2023	Gwyneth Ayers	P&R	WBO13-B1
18.	We will ensure the Council fulfils its duties relating to the current Contest Strategy (counter terrorism) and respond to any duties as they arise, including the Protect Duty (2022).	31/03/2023	Gwyneth Ayers	C& Regen	WBO8-D
19.	To ensure the Council fully considers and responds to the requirements of the Protect Duty once published.	31/03/2023	Kate Harrop	C& Regen	WBO8
20.	We will further enhance and embed the Performance Management Framework in line with the requirements of the Local Government and Elections (Wales) Act.	31/03/2023	Rob James	P&R	WBO13-B6
21.	We will focus on use of information and intelligence to inform the following priority areas: <ul style="list-style-type: none"> <li>Tackling poverty</li> <li>Net zero carbon.</li> </ul>	31/03/2023	Gwyneth Ayers	P&R	WBO4A+ WBO10C
22.	We will undertake analysis of 2021 Census data as it becomes available throughout 2022/23.	31/03/2023	Gwyneth Ayers	P&R	WBO13-B6



### Divisional Profile

As a Division we employ approximately 96 members of staff and provide people management support to the entire organisation (in the region of 8,500 employees); we also provide people management services to a range of external organisations. The Division is made up of 5 key business units:

#### People Services

- HR Strategy and Advice
- Pay and Reward
- Employment Relations and Policy
- Employee Services (Recruitment and Payroll)

#### Employee Wellbeing

- Health and Safety compliance
- Occupational Health & Safety Management and Development
- Occupational Health Services
- Health and Wellbeing Solutions

#### Transform, Innovate and Change (TIC)

- Responsible for the delivery of the TIC work programme
- The Programme takes into account factors such as the potential to deliver financial efficiencies, service improvement, opportunities to work collaboratively with other public sector partners and transformational projects with the potential to deliver greater efficiency savings.

#### Organisational Development

- Organisational Design and Interventions
- Workforce Learning and Development
- Social Care Workforce Development Programme
- Workforce Analytics Research and Management Support

#### Business & Projects:

- Divisional Project Management and Coordination
- Divisional Business Management and Planning Support
- Workforce Engagement
- Workforce Planning
- Internal Staff Communications



### Self-assessment of performance in 2021/22

**Recruitment** - One of the post-pandemic legacies, and a significant risk for the service, has been the Division's capacity to manage increased vacancy volumes and demand for our services, which has been compounded by Brexit. We have introduced new processes to ensure pre-employment checks for critical roles are processed more quickly, temporary online ID checking for DBS checks has been extended by the DBS, temporary staffing arrangements have been secured to support the increased activity, and the overall recruitment process has been streamlined as far as possible subject to the limitations of the current recruitment system – these measures appear to be having a positive impact. A review of the recruitment process, facilitated by TIC, is also being undertaken, which will look at streamlining processes further and drive out any waste before we procure a new recruitment system to make sure we make best use of the technology available to us. We have also successfully introduced a "Right to Work post Brexit" checking process and renewed our licence with the Home Office to allow us to sponsor workers from abroad where appropriate. The increased recruitment volume has also had a wider knock on effect across the whole of People Services, for example, all job profiles for vacancies need to be checked and new jobs require evaluation and employment contracts and payroll set up must be prioritised to ensure new starters can be

brought on board and paid without delay. All checks for new starters are filtered through the Recruitment Team to ensure that our legal responsibilities are complied with.

**Social Care Recruitment** - During the last year this has become a national problem and so we have set up a working group that has introduced new and improved ways of attracting people into the profession and streamlined the application process. In a bid to demonstrate recognition and improve retention we also introduced additional payments for some social care staff, which the Employee Services team has successfully implemented despite the additional demands on the service. The Recruitment Team has worked closely with Community Business Support and Service Managers to prioritise and speed up the recruitment process for Home Care, Residential Care and Social Workers. In addition, we are working with Dyfed Powys Police with a view to speeding up DBS checks wherever possible. We will be looking to increase the number of ID verifiers within Communities to ensure that DBS checking can be further improved and speeded up.

**Senior Officer / Headteacher Recruitment** - We have successfully managed the recruitment process for two new Heads of service 1) Regeneration 2) Place & Sustainability, the Interim and several Headteacher posts and (*at the time of writing*) are in the process of appointing an interim Director of Environment.

**Staff Retention** - We have developed and introduced an automated system (Exit Questionnaire) to capture feedback from leavers. Going forward we need to refine this process to get better quality data and make sure the data is available to all departments. Work has been undertaken with our Communities colleagues to look at market rates for Social Workers and as a result a retention allowance will be payable with the aim of reducing turnover within key occupations. This will be kept under review.

The whole Division has pulled together and provided project management support for the **Better Ways Of Working project**; we developed the new **Our People Framework**, which was agreed by CMT in May 2021 and as a result we have reviewed, revised and introduced a range of people management policies, health and wellbeing interventions and learning materials to support the move to Better Ways of Working. We have also provided support for several service improvement and transformation projects via the TIC work programme.

We have introduced a **revised attendance management policy** and associated e-learning to further support managers to manage attendance effectively. This is a priority for the Council, and we continue to provide the management information to CMT and service managers for monitoring purposes.

We published our **Annual Pay Policy** that complied with the required legislation and provided transparency around pay decisions. As part of the Pay Policy, the Council continued its commitment to paying the Real Living Wage.

**Equal Pay Audit** - we completed and published our audit, which indicates the gap has reduced to approx 14%.

**Flu Vaccine** - to support the Welsh Government drive to increase take up of the vaccine, we agreed and introduced a policy for the reimbursement of flu vaccine costs for staff not entitled to a free vaccination. We also introduced a process for staff to re-claim any costs.

**Covid Vaccination Policy** - we supported the Welsh Government drive to increase take up of the vaccine and developed a new Covid Vaccination Policy, which provided time off for staff to receive their vaccinations.

**Restructuring Support** - we have provided HR advice and guidance in relation to the major realignment of services within Communities and Environment departments, which saw the creation of a new portfolio for the Head of Place and Sustainability.

**Corporate Employee Relations Forum (CERF)** - last year, we doubled the amount of paid facilities time we offered to our recognised Trade Unions and have continued to consult regularly with Union colleagues on a range of policies and Other areas. In particular, during COVID, they were consulted regularly and as early as possible in relation to health and safety advice and processes, changes to policy and service changes.

**Workforce Planning** - we have organised dedicated Local Government Association (LGA) facilitated workforce planning sessions with CMT and Heads of Service. The team was also responsible for providing

all the required data for these successful events and we developed an online dashboard for Heads of Service / Service Managers.

**HR Payroll System** - we successfully negotiated and renewed the licence with our system provider (Zellis) for another 4 years and are now in the process of migrating the system to the cloud based application, which will reduce the risk of systems failure.

**HR Advice** - during the pandemic recovery phase, council services re-opened which resulted in more staff returning to the workplace. The team adapted quickly to providing an online service and has continued to provide HR advice and guidance in a rapidly changing environment with minimal disruption. During the first year of the COVID pandemic, People Management were an integral part of Silver and Gold Command and able to develop guidance and advice in conjunction with these groups.

We have successfully procured a new **reward platform**, which will provide staff with a range of discounts and benefits with many of the main retailers. It is anticipated that this will be ready to launch in the New Year (2022). In addition, we are looking at introducing a technology salary sacrifice scheme to allow employees to access mobile phones, tablets etc in an affordable way thus supporting digital inclusion and to further enhance the reward offer to staff. We have also contracted with Salary Finance to provide a financial wellbeing service including access to loans for staff. This will be promoted via the new reward platform.

**Officer Code of Conduct and Declarations of Interest Process** - developed the new Officer Code of Conduct Intranet pages including a “frequently asked questions” section and launched the new on-line process for declaring interests, gifts, and hospitality.

**Health & Wellbeing** - During the recovery phase, as well as raising awareness and promoting a range of key initiatives to support staff health and wellbeing, the team has been working with services to investigate the wellbeing issues that are arising from Covid. Bespoke solutions have been developed to meet individual service needs as well as delivering a variety of learning resources for a range of topics including Mental Health First Aid, Remote Working Best Practice and Lifestyle Advice. The Team has also continued to develop the Health & Wellbeing Champions network. We now have over 60 champions across the council and another 60 plus in our schools. As all our services re-opened the Team has been integral in supporting staff and schools’ staff to prepare for a different way of working.

**Health & Safety** - During the pandemic, the team was recognised as the authority’s lead for professional, competent, and balanced advice in the absence of national or public health advice or guidance which assisted in the measured and proportionate decision making required during the early stages of the pandemic.

Throughout the pandemic recovery phase, the team has:

- Reviewed and revised the Corporate Health & Safety Policy – agreed by CMT September 2021
- Facilitated site visits buildings being accessed by staff and members of public were ‘COVID secure’ and integral to the safe re-opening and running of our schools.
- Provided drop-in sessions / workshops for Head Teachers to support the development of site-specific risk assessments for each school.
- Responded to changes to legislation, guidance, or alert levels by ensuring all relevant risk assessments and safe working practices were reviewed and amended as required.
- Worked closely with the Test, Trace, Protect and Infection Control teams to enable consistent and competent advice provision across the authority
- In liaison with other Council colleagues, developed risk assessments and procedures to support the Introduction of Lateral Flow Testing within schools and Lateral Flow and PCR Testing with Care Homes and Domiciliary Care.
- Worked with the Infection Control team to risk assess and develop safe working practices to introduce relevant and safe visits to Carmarthenshire County Council and private sector care homes.
- Integral to the safe running of the elections during May provision of advice and guidance as well as undertaking the risk assessments to ensure all our venues / polling stations were covid secure.

- When schools have seen an increase in positive cases, the Team has also worked closely with the Test, Trace, Protect and Infection Control teams, to undertake intervention case reviews and advise on the additional measures required to reduce the risk of further transmission.

**Occupational Health** - throughout the Pandemic recovery phase, the Wellbeing Support Service Appointments, Occupational Health Advisor/ Physician and Consultant appointments have all continued virtually either via phone or MS Teams. From feedback provided, the majority of employees have welcomed the change, as often travel, parking, health conditions etc. may all have been barriers to them accessing the centre previously. These reasons could be linked to the 37% decrease we have seen in the number of charged non-attendances. Due to the heightened concerns raised by staff to managers and the impact on staff wellbeing attributed to the pandemic, the Employee Wellbeing team temporarily launched the Employee Wellbeing Advice and Support Service to support employees through the emergency phase of the pandemic. The self-referral form was accessible to all employees who required extra support, information, or signposting. When shielding was paused, all employees in the high-risk categories who had been unable to work from home were able to return to the workplace. An Occupational Health clinician assessed each individual that was referred to the service – these medical provided managers with the information and advice they needed to make sure appropriate measures were taken to support the return to the workplace.

We have been successful in providing **Kickstart placements** for 20 young people currently on Universal Credits as part of the Government’s flagship programme and have supported the recruitment of 7 more **graduates** across the organisation, in particular supporting a targeted project within in the Communities department.

Our **Welsh Language Development Programme** goes from strength to strength, and we received the award for Welsh Language Employer of the Year (2020).

During 2021 we launched **new Appraisal process** (Recognise, Grow, Together)

We have supported **Leadership & Management Development** across the organisation, adapting the bite-sized sessions to be delivered on-line.

A new digital skills framework has been developed and is in the process of consultation, which will provide a firm foundation for our **Digital Skills Development Programme** going forward.

Working closely with other local authority partners and the WLGA we have developed a prototype of a **new Learning Experience Platform & Management System [LXP/LMS]**. This has the potential to significantly enhance provision at both a strategic and operational level and it is hoped that a new system will become fully operational during 2022/23.

We have also supported a range of projects using different **digital learning solutions** across the organisation.

**Tansform, Innovate & Change (TIC)** - One of the key themes to emerge from the **TIC** Taking Stock review undertaken in 2019 was the need to strengthen the process for reporting progress and outcomes to the TIC Programme Board with the aim of ensuring that there is a greater responsibility and accountability for delivery within TIC Projects and to ensure that improvement and change is sustainable. Some progress has been made in the last year, but the Covid pandemic has impacted on the ability to fully implement the revised reporting framework. However, there is now an opportunity to link this work with the revised corporate performance monitoring framework.

As the Council emerged from the first phase of the Covid crisis, the TIC Team were asked to undertake a **strategic review of the Council’s response** to the pandemic and to identify any learning which could then be reflected in the strategic and operational delivery frameworks. The review, which was undertaken in conjunction with colleagues in Organisational Development, resulted in a comprehensive and evidence based review which was reported to Corporate Management Team and Executive Board in September 2021. A Delivery Plan was also developed to take forward the outcomes of the review and this is monitored via CMT on a 6 monthly basis.

 [Links to sources of evidence \(Regulatory Reports, Member T&F, etc.\)](#)

## Key Areas for Improvement arising from Self-assessment

(including Regulatory Report (WAO/FG), Member T&F, TIC and Consultation Findings; addressing bottom quartile results, etc.)

### **Workforce Strategy**

- The current People Strategy needs to be reviewed in light of the pandemic to support the organisation to recover. We need to develop a new Workforce Strategy. **A2**
- Workforce Planning – consider the impact of Covid on our workforce and develop a Strategic Workforce Plan based on departmental and corporate workforce requirements. **A3**
- Employee experience – we need to evaluate the employee experience and undertake research to develop a Workforce Engagement Strategy that will underpin the new Workforce Strategy, which will include a new staff voice mechanism, and develop an annual reporting structure for monitoring and evaluation purposes. **A4**

### **Employee Well-being**

- We are starting to see a significant increase in the number of occupational health referrals, in particular referrals to our Wellbeing Support Services. To stem this increase we need to invest more time in developing proactive preventative solutions such as promoting good health and educating employees on healthy lifestyle choices. However, we do not have permanent funding for our Health and Wellbeing team, which includes support for mental health. **B1**
- Develop an Employee Wellbeing Strategy that underpins our new Workforce Strategy. **B1**
- Scope opportunities to commercialise some of the Employee Wellbeing services. **B3**

### **Organisational Development**

- Ensure that Learning & Development priorities and programmes are fully aligned with corporate priorities and needs. **C6**
- Complete and implement the findings of the strategic review of Learning Development. **C6**
- Further develop the Council's Leadership and Management Programme to support key corporate priorities. **C6**
- Design and implement Member Induction Programme following election in May 2022. **C13**
- Implement the new LMS system. **C12**
- Work with other PM colleagues to implement the findings of the Investors in People review. **C7**
- Contribute to the Divisional Project that creates the process for the development, monitoring and evaluation of Welsh Language learning agreements. **C8**
- Increasing the number of Social Work student placements & support for qualified Social Worker as new post qualifying framework emerges. **C9**

### **People Services**

- Complete the review of Recruitment and implement its findings. **D1**
- Procure and implement a new Recruitment System. **D1**
- Launch Icom Staff Benefits platform. **D6**
- Ensure our Pay Policy for 2022 / 2023 and annual Equal Pay / Gender Pay Audit/ comply with legislation and provide transparency around pay decisions. Separate Pay Policy for Teachers. **D4**

### **TIC**

- Strengthen performance management and reporting aspects of the TIC programme and align with corporate performance management framework in response to previous TIC Taking Stock Review. **E1**
- Further strengthen the use of data and corporate intelligence to inform TIC priorities. **E1**
- Developing TIC Transformation strategy to ensure that TIC work is fully aligned with supporting the key priorities of the organisation. Eg. BWOW; Digital transformation; Net Zero Carbon; Commercialisation. **E2**

★ Address & cross-reference any actions arising within the Divisional Summary Action Plan section below if applicable

## Key Divisional Risks

Risk Ref or New?	Risk score after mitigation	<b>Identified Risk</b> All risks can be profiled in the Divisional Plan. In this departmental plan the Division should identify: 1. Any Risks that it has on the <b>Corporate Risk Register</b> 2. <b>Significant Risks</b> (scored 16+) 3. <b>For Service High Risk (scored 12+), see Divisional Plan</b>	Action Plan Ref No.
CRR190038	15 High	COVID19 – increase in levels of anxiety which is directly affecting mental health. Health and wellbeing of staff and the public Employee health and wellbeing and attendance levels – emerging legacy costs as a result of the pandemic.	<b>B1+B5</b>
CRR190006	8 Medium	Ensuring effective People Management.	<b>D15</b>
CRR190015	12 High	Delivery of the approved Capital Programme <i>Responsibility for one of the four mitigating actions</i> <ul style="list-style-type: none"> <li>Project Management Training.</li> </ul>	
CRR190030	20 Significant	Coronavirus – risk to business continuity, system failure and service delivery: Safe systems of work; consultation with TU's; re-deployment hub.	
	12 High	Health & Safety – Management of all health & safety risks across the authority.	<b>B4</b>
	16 Significant	The current Occupational Health (OH) IT System contract has expired, and a new cloud based system is needed, records.	<b>B3</b>
CRR190056	20 Significant	Effect of COVID-19 & Brexit: <i>Responsibility for two of the nine mitigating actions</i> <ul style="list-style-type: none"> <li>on recruiting and impact on workforce planning.</li> </ul>	<b>D2</b>
	16 Significant	Corporate turnover rates are relatively low, however there are retention concerns in some of our critical areas such as social care.	<b>D6</b>
	15 High	Employee Relations: Consultation with the recognised non-teaching Trade Unions is ongoing via the CERF but without commitment to partnership working, relationships can be difficult and agreements difficult to achieve.	<b>D17</b>
	16 Significant	Failure to fully achieve the benefits of a proactive approach to commercialisation.	

\* All Corporate and Significant Risks must be addressed in the Divisional Summary Action Plan below

## 5 Ways of Working

<b>1. Long Term</b>	<i>The importance of balancing short-term needs with the need to safeguard the ability to also meet <b>long term</b> needs</i>
<i>How good are we at this?</i>	<b>Partial</b>
Self-Assessment Review:	<p>We support services to plan long term for their workforce requirements with people management data and or facilitated workforce planning sessions.</p> <p>The Employee Well-being Service supports the long term health and wellbeing of our employees. We are constantly monitoring capacity, referrals and waiting times in our OH service to ensure we can meet demand.</p> <p>Learning and development programmes are aimed at developing skills to support the whole organisation long term. Our Workready programme supports the council's workforce and succession planning priorities.</p> <p>Our People Management policies e.g., time off work, flexible working, agile working impacts on staff retention and turnover.</p> <p>TIC has an underlying key principle of supporting sustainable service delivery.</p>
Planned Improvement for 22/23 - we will: (link to action plan)	<p>We will publish a new <u>3 year Workforce Strategy</u>. <b>A1</b></p> <p>We will promote healthy lifestyle choices and support mental health. <b>B1</b></p> <p>We will Complete the TIC review of the learning and development function and implement its findings. <b>C2</b></p>
<b>2. Prevention</b>	<i>How acting to <b>prevent</b> problems occurring or getting worse may help public bodies meet their objectives</i>
<i>How good are we at this?</i>	<b>Strong</b>
Self-Assessment Review:	<p>We have recently published a new <u>Officer Code of Conduct Guidance</u> and automated the <u>Declarations of Personal Interest, Gifts and Hospitality</u> process and raised awareness of the new guidance.</p> <p>Health and Wellbeing initiatives and Occupational Health Services support the prevention of ill health amongst our employees which in turn supports positive attendance and employee wellbeing. The work of our Health and Safety team ensures risks are managed and accidents prevented.</p> <p>We have already started to see an increase in absence levels as a direct result of the pandemic. For example, waiting times for NHS procedures and operations is extending the period of time staff are absent and an increase in absences that are related to mental health concerns.</p> <p>Longer term we need to consider expanding our Occupational Health service with a view to easing the pressure on the NHS where possible. This would help to reduce the length of absences, which in turn would help staff return to work quicker, avoid terminations, ill health retirements and all replacement associated costs.</p> <p>The work of the People Services team, in particular the HR policy, advice and guidance element, is designed to prevent the authority breaching legislative requirements</p> <p>The TIC service improvement approach always looks to identify the root cause of issues and resolve them so they are not repeated.</p>
Planned Improvement for 22/23 - we will: (link to action plan)	<p>To meet increased demand we need funding for our Health +Wellbeing team. <b>B2</b></p> <p>Health &amp; Safety will continue to ensure we are compliant with all the Covid related regulations but also needs to refocus on Health &amp; Safety. <b>B3</b></p> <p>We will reinstate the TIC awards to recognise improvement activity outside of the TIC programme.</p>

<b>3. Integration</b>	<i>Considering how well-being objectives may <b>impact</b> upon each of the well-being goals, on their other objectives, or on the objectives of other public bodies</i>
<i>How good are we at this?</i>	<b>Partial</b>
Self-Assessment Review:	<p>Our People Strategy needs to be reviewed to ensure pull together the contributions of every department to ensuring we have a workforce fit for the future.</p> <p>Employee Well-being impacts employee attendance and engagement – this in turn affects the quality of services being delivered across the council.</p> <p>Organisational Development aims to give staff the opportunity to develop and progress within the organisation. This impacts employee motivation, which in turn affects the quality of services being delivered across the council</p> <p>All our People Management policies and initiatives e.g., living wage, time off work, flexible working, agile working, financial wellbeing support are all designed to contribute to a good work life balance, which in turn support our staff in their personal lives. This supports our Well-being Objectives especially on Healthy lives and tackling poverty.</p>
Planned Improvement for 22/23 - we will: (link to action plan)	<p>We will review our current strategy in light of Covid and publish a new <u>3 year Workforce Strategy</u> and <u>Strategic Workforce Plan</u>. <b>A1+A2</b></p> <p>We will ensure that Learning and Development priorities and programmes are fully aligned with corporate priorities.<b>C2+E1</b></p> <p>Introduction of the iCOM Reward Hub will give our staff access to local and national rewards and discounts, which in turn will support the local economy.<b>D4</b></p> <p>We will ensure that TIC work is fully aligned with supporting the key priorities of the organisation through a Transformation strategy.<b>E1</b></p>
<b>4. Collaboration</b>	<i>Acting in <b>collaboration</b> with any other person (or different parts of the body itself) that could help the body meet its well-being objectives</i>
<i>How good are we at this?</i>	<b>Strong</b>
Self-Assessment Review:	<p>During the Pandemic the team worked very closely with service managers and head teachers to ensure risk assessments and safe systems of work were in place. The Pentre Awel development is a good example of how our Health and Safety team has worked closely with partners to ensure the project delivers its aims and objectives.</p> <p>People Management works closely with colleagues in other departments when developing key policies or changing processes. Regionally we work closely with other HR directors (HRD Network) – sharing good practice, exchanging ideas, advising WLGA on HR related matters.</p> <p>The TIC work programme encourages a collaborative approach across the organisation and with other partners including all Wales improvement networks, the Academi transformation network, Pembrokeshire and Swansea County Councils, Dyfed-Powys police and UWHDHB.</p>
Planned Improvement for 22/23 - we will: (link to action plan)	<p>We will need to continue this relationship in terms of internal communications around Better Ways of Working.</p> <p>We need to provide dedicated health and safety and Occupational Health support for the next phases of the Pentre Awel project to ensure its success; however, we do not currently have funding.</p>
<b>5. Involvement</b>	<i>Importance of <b>involving</b> people with an interest in achieving the well-being goals, and ensuring that those people reflect the diversity of the area</i>
<i>How good are we at this?</i>	<b>Partial</b>
Self-Assessment Review:	<p>The Division currently leads on a number of initiatives that involve staff in decision making e.g <a href="#">Better Ways of Working</a>, <a href="#">TIC</a> programme/projects, <a href="#">Health &amp; Wellbeing Champions</a> network, Investors in People review. An <a href="#">Tudalen 2005</a></p>



	<p>suggest that we need to develop a framework that provides additional ways for all staff to get involved and to have their say.</p> <p>The “Our People Framework” is a good example of how staff, managers, heads of service and trade unions were involved in developing the final framework</p> <p>TIC service improvement projects always include consultation with service users and all stakeholders in any service redesign proposals.</p>
<p>Planned Improvement for 22/23 - we will: (link to action plan)</p>	<p>We need to invest more time in proactive preventative solutions such as promoting good health and educating employees on healthy lifestyle choices. <b>B1</b></p> <p>We need to develop and publish a new Workforce Engagement Strategy. <b>A3</b></p> <p>We need to develop a better understanding of how our policies impact on our staff. The Business &amp; Projects section will look to develop a Workforce Engagement Strategy that will include staff involvement. <b>A3</b></p> <p>Undertake the IIP review in 2022 and implement its findings. <b>C3</b></p> <p>We will continue to consult with key stakeholders internally and externally so that their views are taken on board when redesigning services and processes and delivering the improvements. <b>E1+2</b></p>

## Divisional Summary Action Plan

Ref #	Key Actions and Measures	By When or EOY Target?	By Who? Responsible Officer	Scrutiny	WBO Ref & Step WBOXX/a
<b>A Business and Projects - Manager Cheryl Reynolds</b>					
1	We will review and develop a new Workforce Strategy.	October 2022	Cheryl Reynolds	P&R	WBO13/B5
2	We will produce a Strategic Workforce Plan <ul style="list-style-type: none"> <li>Review departmental submissions</li> <li>Develop and publish a Strategic Workforce Plan.</li> </ul>	Sept 2022	Cheryl Reynolds	P&R	WBO13/B5
3	We will develop and publish a new Workforce Engagement Strategy, working with the Marketing & Media team to develop a mechanism to evaluate the employee experience.	June 2022	Cheryl Reynolds	P&R	WBO13/B5
<b>B Employee Wellbeing - Manager Heidi Font</b>					
4	Develop and publish a new Employee Wellbeing Strategy <ul style="list-style-type: none"> <li>Develop and deliver new corporate and bespoke service health and wellbeing initiatives to support the wellbeing of our employees and secure permanent funding to support the growth in demand for services.</li> </ul> <p style="text-align: right;">CRR190038</p>	March 2023	Heidi Font	P&R	WBO13/B5
5	Procure and implement new OH IT system <ul style="list-style-type: none"> <li>Resolve procurement issues</li> <li>Procure new system</li> <li>Secure additional resource to ensure OH data is migrated effectively.</li> </ul>	Dec 2021 Jan 2022	Heidi Font	P&R	WBO13/B5
6	Health and Safety - Covid support, advice and guidance will continue; however, we now need to refocus our work to ensure the management of all Health & Safety risks across the authority.	Mar23	Heidi Font	P&R	WBO13/B5
7	To continue monitoring attendance, ensuring managers are trained and briefed in positive attendance management and are aware of in-house support.	Mar23	Heidi Font	P&R	WBO13/B5
<b>C Organisational Development – Interim Manager Jon Owen</b>					
8	Number of apprentices on formal recognised apprenticeship schemes per 1,000 employees (PAM/044). (2019/20 Result 34.4; 2020/21 Target 20.0)	20	Alex Machin	P&R	WBO13/B5
9	Complete and implement the findings of the strategic review of Learning Development.	Sep22	Jon Owen	P&R	WBO13/B5
10	Implement the findings of the Investors in People Review.	Mar23	Jon Owen	P&R	WBO13/B5
11	Strengthen monitoring, evaluation and reporting mechanisms in respect of the Welsh Language.	March 2023	Alex Machin	P&R	WBO12+ WBO13/B5
12	Increase the number of Social Work student placement opportunities & support for qualified Social Worker.	March 2023	Jon Owen	P&R	WBO1+2+9 WBO13/B5
13	Fully implement new Learning Management System.	Mar23	Jon Owen	P&R	WBO13/B5
14	Design and implement Member Induction Programme following election in May 2022.	Mar23	Jon Owen	P&R	WBO13/B5

Ref #	Key Actions and Measures	By When or EOY Target?	By Who? Responsible Officer	Scrutiny	WBO Ref & Step WBOXX/a
<b>D People Services – Manager Alison Wood</b>					
15	We will continue to ensure that our recruitment, retention, people management and development policies, systems and process comply with changing legislation and reflect the needs of the organisation.	March 2023	Alison Wood / Jon Owen	P&R	WBO13/B5
16	We will ensure our Pay Policy for 2022 / 2023 and annual Equal Pay comply with legislation and provide transparency around pay decisions. Separate Pay Policy for Teachers.	March 2022	Alison Wood	P&R	WBO13/B5
17	We will develop an Employee Relations Strategy to inform engagement with the Trade Unions.	March 2023	Alison Wood	P&R	WBO13/B5
18	We will take steps to improve staff retention and launch Icom Staff Benefits Platform.	March 2023	Alison Wood	P&R	WBO13/B5
<b>E TIC - Manager Jon Owen</b>					
19	Develop a TIC Transformation Strategy to ensure that TIC work is fully aligned with supporting the key priorities of the organisation. E.g. BWOW / Digital transformation / NZC / Commercialisation.	Sept 22	Jon Owen / Bernadette Dolan	P&R	WBO13/B5
20	Strengthen performance management and reporting aspects of the TIC Programme and align with corporate performance management framework.	March 2023	Jon Owen	P&R	WBO13/B5

# Regeneration Summary Divisional Plan

Head of Service: Jason Jones

## Divisional Profile

The Division provides business, employability, grant funding and skills support and advice whilst also contributing to the delivery of the policies and strategies for the Swansea Bay City Region Deal, which includes the Pentre Awel development planned for Delta Lakes, South Llanelli, and the digital infrastructure and skills and talent programmes. The service is also delivering our strategic Regeneration Plan for Carmarthenshire and its key transformational projects. We are responsible for the management of the Council's land assets, taking a strategic commercial view to ensure the portfolio is managed to meet the Council's economic development needs. The Strategic Asset Management team handles the preparation and implementation of a strategic approach to the Council's corporate asset objectives and management of the operational property resources. We are also responsible for the Council's Geographic Information Service (GIS) which provides an effective Geographical Information Systems and Gazetteers service which gives accurate and timely information for key service users and systems.



The Division seeks to address the needs of the economy and communities within Carmarthenshire and delivery of jobs and growth is the key priority. The COVID pandemic has had a fundamental impact upon our economy and our role has evolved to encompass the new challenges this presents. As such, the delivery of the Economic Recovery Plan for Carmarthenshire forms the strategic basis for all our activities within the Division and *Economic Development*.

The *Property & Major Projects* section of the Division is responsible for managing various land and building assets of the Council taking a strategic commercial view to ensure they are managed in a way that meets the Council's economic development needs.

The *Strategic Asset Management* team handles the preparation and implementation of a strategic approach to the Council's corporate asset objectives and management of the property resources.

The *Pentre Awel* team is tasked with the development and delivery of all four zones at Pentre Awel and includes key areas of work such as service planning, funding / investment, procurement, design development and construction. Pentre Awel is a cornerstone of key internal and external policies and strategies: it supports and catalyses our Regeneration Plan (including economic recovery).

The *Digital Programme* Unit is primarily responsible for the delivery of the Swansea Bay City Deal Digital Infrastructure Programme across the Region on behalf of all partners and stakeholders. It is an investment in the Digital Connectivity and associated Telecommunications Infrastructure of the region.

## Self-assessment of performance in 2021/22

Carmarthenshire's economy has been significantly impacted by the Covid-19 pandemic and Brexit. To gain an informed understanding of the position in Carmarthenshire, we have engaged with over 1,000 businesses to gather evidence on the impact of the pandemic on our businesses, unemployment and our rural and primary town economies. This has assisted us to put in place a clear [recovery plan](#) with an immediate priority focus on protecting jobs and supporting our small and medium enterprises (SMEs) to upscale. We will also continue to address the longer-term challenges that constrain growth in Carmarthenshire including low productivity and wages, skills deficits, too few businesses scaling up and the need for investment in modern business infrastructure and premises. We will support Carmarthenshire's economy to recover as quickly as possible to become one that is more productive than before, more equal, greener and with more sustainable communities.

As a platform to the development and delivery of the County's Economic Recovery Plan, an internal Business, Economy and Community recovery group has been established to coordinate development and delivery. In addition, an overarching advisory group, comprising key private sector industry leaders, has been established.

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established, that assisted with the development and refinement of the recovery plan, and is now providing leadership as we deliver the recovery plan actions over the next 2 years. We will work with marketing and media to plan and deliver campaigns that align with the economic recovery plan as well as establishing the new brand and communications strategy for Pentre Awel.

To support the overarching county wide recovery plan, we have recovery plans in place for our three Primary towns – Carmarthen, Llanelli and Ammanford, as well as growth plans for our 10 rural towns.

In support of the recovery proposals the Council is providing £4.4m (Capital £3.7m, revenue £0.7m) to deliver initiatives including Carmarthenshire Rural Enterprise Fund, Commercial Property development Fund, Business Start Up and Growth Funds, Ten Towns capital Fund and Transforming Towns Initiative.

The regeneration service is not able to deliver everything in terms of the economic recovery proposals, nor is the Local Authority. We are working corporately and strategically with other services areas who can support delivery of the Carmarthenshire Economic Recovery Plan. We will also need to work with external organisations to ensure these influences support our plan for recovery and growth.

### *Economic Development*

- In response to the COVID-19 pandemic, the Division has led on the development and delivery of the Carmarthenshire's Economic Recovery and Delivery Plan. Resources have been secured and actions have commenced to deliver the plan. This approach has been referenced in the Wales Audit report [\*Regenerating Town Centres in Wales – National Report\*](#) (September 2021), with Carmarthenshire specifically mentioned on p33 of the report as being an example of where we have taken the opportunity to refresh our regeneration plans in response to the pandemic and provides a good summary of the "live" challenges facing towns in the county.
- We are progressing well with recovery activity in response to the key outcomes identified in the economic recovery plan. In the first 6 months of a 2-year plan we have created 575 jobs and safeguarded 641 jobs, engaged with 1,682 businesses and delivered training to 237 job seekers. Over the next 18 to 24 months, we have identified actions and activity to achieve or surpass the overall economic recovery plan targets.

### *Property & Major Projects*

- In collaboration with the Health Board we have continued to assist in securing agreements for the setting up of COVID-19 Testing Centres and Mass Vaccination Centres.
- Developments underway (creating job opportunities & significant capital receipts): a strategic development in Trostre; a housing development in Llandeilo; targeted properties in Llanelli Town Centre in regenerating the town; expanding our Street Markets; Council owned industrial land.
- We continue to support the delivery of the Council's Housing Regeneration and Development Delivery Plan, supporting the delivery of over 2,000 additional homes across the County.
- Property disposals have not progressed as anticipated because of the pandemic. Capital receipt targets for 2020/2021 were not achieved. 2021/2022 target was achieved although this involved slippage from the 2021 overall target and is, therefore, not a true reflection. There is confidence that overall capital receipts target remains achievable although the timescale for achievement needs to be extended.

### *Strategic Asset Management*

- Asset Valuations have been audited with no issues raised on the 20% rolling programme.
- Property Workstream has been set up to review and respond to Better Ways of Working (BWoW).
- Conclusion and adoption of Corporate Asset management Plan and some Service AMP's were placed in abeyance as a result of Covid. Plans will require review in light of BWoW and reset of services.
- Consider the outcomes of the Audit Wales - Springing Forward Project - Asset Management Tracer.

### *Pentre Awel*

- Has taken a major step forward during 2021/22 having transitioned from strategic planning to implementation and delivery following the approval of its City Deal Business Case in March 2021. A number of critical milestones have been realised:

*Business Case* - UK and Welsh Government approval of the City Deal Business Case in March 2021. Funding agreement developed and ratified, enabling draw-down of investment.

*Procurement* - CCC has procured around £75m of contract works for Pentre Awel during **Today's 205**

Contractor Appointment - In [October](#) the Authority appointed Bouygues UK as the Develop and Construct Contractor for Zone 1.

*Service Planning* – Education, Health, Research, Leisure, Catering, Welsh Language, Communications.

*Governance* - a revised governance structure has been put into operation.

*Funding* - appraisals and funding models have been developed and issued to the financial markets. A whole site funding review is ongoing to consider the net funding requirement for all Zones.

### *Digital Programme*

- The SBCD Digital Infrastructure Programme:

*Governance* - the Digital Programme Business Case, Board and Governance has been established and is functioning


*Funding* - access to the £25M City Deal funding for the Digital Programme is secured; approximately £13.5M additional public sector funding has also been secured across the region

*Resources* - appointment of specialist advisors and a central team to the Digital Programme is complete.

- The CCC Digital Regeneration Programme:

Significant Commercial Investment in Gigabit fibre build secured and ongoing at Cross Hands, Llangennech, Burry Port, Llanelli, and Carmarthen; together with Superfast Cymru 2 Investment Secured to connect 3300 of Carmarthenshire's worst served rural premises.

 [Links to sources of evidence \(Regulatory Reports, Member T&F, etc.\)](#)  
[Regenerating Town Centres in Wales – National Report](#) (September 2021)

 See [sources of evidence to inform self-assessment as outlined in Local Government and Elections Act 2021](#)

## Key Areas for Improvement arising from Self-assessment

(including Regulatory Report (WAO/FG), Member T&F, TIC and Consultation Findings; addressing bottom quartile results, etc.)

### *Economic Development*

- Address Audit Wales recommendations on [Regenerating Town Centres in Wales – National Report](#) (A27&28)
- Track BREXIT progress and COVID recovery and its impact on Carmarthenshire (A2)
- Delivery of the Economic Recovery Action Plan (Throughout A)
- We will work with marketing and media to plan and deliver campaigns that align with the economic recovery plan as well as establishing the new brand and communications strategy for Pentre Awel (Throughout A)

### *Property & Major Projects*

- Continue to seek opportunities to expand our Street Markets (B49)
- Improve marketing approach for disposal / leasing of assets (B46)
- A review will be undertaken of the capital receipts programme and targets for the next 5 years with a report to be presented to Cabinet (B46)
- Support the delivery of the Council's Housing Regeneration and Development Delivery Plan (B47)

### *Strategic Asset Management*

- Review of Rural Estate Plan and effect of regulations regarding pollution (C52)
- Review of Asset Transfers in progress and consultation with Town and Community Councils (C52)
- Revised Corporate Asset management plan to be prepared and formally adopted by Cabinet (C52)

### *Pentre Awel*

- Prior to entering into the construction contract with Bouygues UK, we will ensure good contractual governance and a consolidated funding position (D53)
- Early and frequent engagement with Bouygues UK in the development and delivery of a bespoke Community Benefits programme (D53)
- Work collaboratively with tenants and wider stakeholders to effectively plan for and realise the projected benefits for the scheme (D53)

### *Digital Programme*

- Fully transition from planning and preparation to delivery on the SBCD Digital Infrastructure Programme (E56)
- Attract Welsh & UK Government Funds for key strategic Digital projects both Regionally and locally (E56)

★ Address & cross-reference any actions arising within the Divisional Summary Action Plan section below if applicable

## Key Divisional Risks

Risk Ref or New?	Risk score after mitigation	<b>Identified Risk</b> All risks can be profiled in the Divisional Plan. In this departmental plan the Division should identify: 1. Any Risks that it has on the <b>Corporate Risk Register</b> 2. <b>Significant Risks</b> (scored 16+) 3. <b>For Service High Risk</b> (scored 12+), see <b>Divisional Plan</b>	<b>Divisional Summary Action Plan Ref No.</b>
CRR190049 COVID19 CMT Strategic	20	Risk of local business and economy not recovering from the pandemic. <i>Controls: Financial support to businesses; Advice to businesses; Support to businesses; Database of local suppliers and traders; Robust economic recovery plan to protect jobs and safeguard businesses and the delivery on the Local Innovation Strategy.</i>	Most of A
CRR 190013	12	Delivery of the regional City Deal projects (Pentre Awel, Skills & Talent and Digital Infrastructure). <i>Controls: Establishment of Swansea Bay City Region Board; Development of Regional Joint Committees; Welsh Government Assurance Gateway Reviews; individual project/programme specific Boards</i>	D53-54 A34, A39-45 E55-56
CRR190023	12	Failing to respond to impact of COVID recovery and BREXIT on increased business demands, e.g. Supporting local businesses with advice, grants and loans as part of regeneration activities; Creating jobs directly through CCC's capital programme contract works; Failure to deliver the Economic Recovery Plan due to the loss of EU funds; The availability of UK Government replacement funds poses a significant risk as the authority is competing against UK-wide authority areas. <i>Controls: Decrease in external funding due to new SPF regimes; Officer/Member Working Group with representations from all council services; Review all services/plan contingencies; Follow advice from Welsh Government and WLGA; Communications with residents &amp; businesses.</i>	A2 Most of A
CRR 190014	8	Delivery of the Pentre Awel Project (Outcomes/Budget). <i>Controls: Development of Zones 1-4 of Pentre Awel, Financial Planning</i>	D53 & 54

★ All Corporate and Significant Risks must be addressed in the Divisional Summary Action Plan below

## 5 Ways of Working

<b>1. Long Term</b>	<i>The importance of balancing short-term needs with the need to safeguard the ability to also meet <b>long term</b> needs</i>
<i>How good are we at this?</i>	<b>Strong</b>
Self-Assessment Review:	<ul style="list-style-type: none"> <li>• Development of the Economic Recovery and Delivery Plan during the pandemic, that follows on from our strategic regeneration plan for Carmarthenshire 2015-2030 – Transformations that set out our focus for the next 15 years.</li> <li>• The RLSP supports the transition of the region and its economy by developing appropriate skills and training to support all the priority sectors within the Swansea Bay City Deal including digital, construction, manufacturing, health and energy and develop upskilling and apprenticeships opportunities.</li> <li>• Development of Town Centre Growth Plans for next 10 years through the 10 towns initiative and Primary Town Centre Recovery Growth Plans.</li> <li>• The Council’s short-term aspirations to maximise capital receipts from the sale of property needs to be balanced with longer term considerations by applying a clear and sustainable approach to the sale of surplus assets. A longer term approach will help safeguard and support strategic acquisitions, facilitate jobs, new housing and economic growth in the county all being in accordance with the aspirations / objectives of the Economic Recovery Plan.</li> <li>• Short term needs in terms of capital receipts generated from property disposals are balanced with a clear process for the sale of surplus assets that will continue to be utilised in the long term. Corporate AMP captures short to medium term service needs to ensure alignment with long term strategy and aims.</li> <li>• Pentre Awel will deliver transformational social and economic benefits. This will provide economic regeneration opportunities in Llanelli that links with the Swansea Bay City Region and provides long term benefits such as health, education, employment and availability of quality jobs.</li> <li>• SBCD Digital Infrastructure Programme and CCC Digital Regeneration Programme is deploying connectivity to meet the needs of citizens and businesses for at least the next 25 years. This connectivity infrastructure will support and underpin the delivery of transformational social and economic benefits.</li> </ul>
Planned Improvement for 22/23 - we will: (link to action plan)	<ul style="list-style-type: none"> <li>• Delivery of the SW Wales Regional Economic Development Strategy (to be adopted).</li> <li>• Delivery of the Economic Recovery Plan. <b>Throughout Action Plan</b></li> <li>• Delivery of Skills Action Plan through the SBCD Skills and Talent Programme and the Regional Learning &amp; Skills Partnership. <b>A34</b></li> <li>• Continued delivery of the Transformations Plan. <b>A13</b></li> <li>• Delivery of Town Centre Action Plans. <b>A10, A13, A14, A15, A27, A28</b></li> <li>• Ensure that we continue to follow the property acquisition and disposals procedures and that these are aligned to the Recovery Plan. <b>B46 – B48</b></li> <li>• Service plans highlighting current needs will be reviewed to produce the Corporate Asset Management Plan to ensure alignment with long term corporate aims. <b>C52</b></li> <li>• Finalise proposals for further and higher education at Pentre Awel. <b>D53 &amp; D54</b></li> <li>• Establish the Education Implementation Group to support career progression. This will help address long-term critical skills shortages within health and care disciplines, as evident during the recent Covid pandemic. <b>D53 &amp; D54</b></li> <li>• We will continue to lead the £55 million investment in Digital Infrastructure across Carmarthenshire and the wider Swansea Bay City Region. <b>E56</b></li> <li>• We will continue to focus on the long term economic and social needs of the Region when making decisions about Digital procurement and investment. <b>E55</b></li> </ul>
<b>2. Prevention</b>	<i>How acting to <b>prevent</b> problems occurring or getting worse may help public bodies meet their objectives</i>
<i>How good are we at this?</i>	<b>Partial</b>
Self-Assessment Review:	<ul style="list-style-type: none"> <li>• Prevention of the demise of the economy following the devastating impacts of the Pandemic.</li> </ul>



	<ul style="list-style-type: none"> <li>• Providing upskilling and training opportunities for our citizens to prevent our skills base, e.g. low NVQ levels, from getting worse.</li> <li>• Vacant and derelict properties have a negative effect on the locality and the longer they remain vacant the higher the risk of vandalism and safety issues arising.</li> <li>• We are committed to becoming a Net Zero Carbon (NZC) LA by 2030 and are reviewing our estate to highlight areas for planting, sequestration &amp; energy generation.</li> <li>• We have reviewed the service proposals and designs for the Clinical Delivery Centre in Pentre Awel to ensure fitness for purpose and incorporation of Covid-learning (i.e. shift towards digital health). The Health Impact Assessment informs all service planning, encouraging all partners to holistically consider the wider determinants of economic inequalities and health.</li> <li>• We have and will continue to co-design services at Pentre Awel which will help people stay healthy and lead independent lives for longer through proactive preventative measures. Joint service pathways with leisure and health have been identified.</li> <li>• Regional &amp; local Digital Infrastructure interventions have been co-designed with partners &amp; stakeholders to act now in order that the social &amp; economic prosperity of the Region is supported &amp; underpinned by future proofed Digital connectivity.</li> </ul>
Planned Improvement for 22/23 - we will: (link to action plan)	<ul style="list-style-type: none"> <li>• Delivery of the Regeneration COVID Recovery Plan and its action areas. <b>Throughout Action Plan</b></li> <li>• The RLSP Action Plan advises WG on the skills required by our businesses. This provides WG with the local intelligence and influences how colleges etc are funded. The SBDC Skills &amp; Talent project will also help prevent our skills levels from deteriorating by delivering key focused training. <b>A34</b></li> <li>• Delivery of business support &amp; other funds to assist SMEs recovery from the pandemic. <b>A21</b></li> <li>• The COVID pandemic has delayed the sale of some properties and we will prioritise their disposal to mitigate risk and bring them back to beneficial use to help reshape and improve our towns. <b>B46</b></li> <li>• Work with Bouygues UK to deliver for Pentre Awel, targeted interventions around recruitment and training, supply chain, education &amp; community engagement. <b>D53&amp;D54</b></li> <li>• Issue a mid-year update to Pentre Awel’s Health Impact Assessment. <b>D53 &amp; D54</b></li> <li>• Establish a multi-agency working group to consider Pentre Awel’s utilisation of outdoor and green spaces for the betterment of mental and physical wellbeing for people of all ages and abilities. <b>D53 &amp; D54</b></li> </ul>
<b>3. Integration</b>	<i>Considering how well-being objectives may <b>impact</b> upon each of the well-being goals, on their other objectives, or on the objectives of other public bodies</i>
How good are we at this?	<b>Partial</b>
Self-Assessment Review:	<ul style="list-style-type: none"> <li>• The impact of the COVID pandemic and Brexit are continuously reviewed.</li> <li>• The RLSP has ambitious plans to develop the ways education and training are delivered in the region.</li> <li>• The Digital Infrastructure project, funded via the Swansea Bay City Deal, aim to break down the inequalities in the digital culture.</li> <li>• The disposal of property assets accords with the Council’s corporate strategy, with a focus on two of the Council’s seven high level priorities.</li> <li>• The well-being objectives of the Council and Public Services Board partners have been fully incorporated into the Pentre Awel project with strong synchronicity between partner objectives. Additionally, there will be significant integration between Pentre Awel and other City Deal projects, in particular the Skills and Talent Initiative, and the Digital Infrastructure project.</li> </ul>
Planned Improvement for 22/23 - we will: (link to action plan)	<ul style="list-style-type: none"> <li>• Delivery of the Economic Recovery Plan. <b>Throughout Action Plan</b></li> <li>• The RLSP to link skills and education to the needs of communities and businesses. <b>A38</b></li> <li>• Delivery of the Digital Infrastructure project. <b>E56</b></li> <li>• Work with other public sector bodies to identify opportunities for shared use and diversified use of buildings in town centres. <b>B50</b></li> <li>• Work with Partner organisations to benefit from new ways of working and set up pilot hub in Llandeilo.</li> </ul>

	<ul style="list-style-type: none"> <li>• Pentre Awel - develop and agree Heads of Terms with Hywel Dda UHB, UWTSU, Cardiff University &amp; Swansea University; also further engagement with PSB partners to explore unique and collaborative models for delivering services at Pentre Awel. <b>D53 &amp; D54</b></li> <li>• We will undertake further engagement with partners and stakeholders to ensure collaborative models for Digital Infrastructure deployment and innovative solutions for delivering Digital public services. <b>E55</b></li> </ul>
<b>4. Collaboration</b>	<i>Acting in <b>collaboration</b> with any other person (or different parts of the body itself) that could help the body meet its well-being objectives</i>
How good are we at this?	<b>Strong</b>
Self-Assessment Review:	<ul style="list-style-type: none"> <li>• Co-work and co-production across all public sector services, with Welsh Government, including Joint Ventures.</li> <li>• Emerging partnership with UK Government – e.g. UK Government funded Carmarthenshire and Pembrokeshire Hwb project. Within Carmarthenshire, the Carmarthen Hwb will bring a prominent redundant town centre property back into use, creating a central hub for services to support people in <i>starting well, living well and ageing well</i>. It will bring together health, social care and active leisure, alongside university provision and a welcome point for visitors to the town, whilst also responding to the need to repurpose Carmarthen’s town centre offer.</li> <li>• Collaboration with Town Centre Task Forces and 10 Towns Growth Plan Teams.</li> <li>• The recovery economic agenda has involved considerable collaboration with the businesses and communities, including Town and Community Councils.</li> <li>• The RLSP’s work with individual sectors to identify the skills needs related to the low-carbon Wales policy to ensure that businesses are well equipped to capitalise on the opportunities this brings.</li> <li>• Our approach to Community Asset Transfer aims to align with the principles of the WBFGA, which looks to improve the social, economic, environmental and cultural well-being of Wales through sustainable development.</li> <li>• Pentre Awel have worked in close partnership with Higher and Further Education, Health Boards, third sector stakeholders and the private sector. Together with links between therapists, specialist nurses, health rehabilitation professionals, leisure and sport – for example, jointly designing the gymnasium to encourage multi-generational use across abilities and upskilling of fitness instructors.</li> </ul>
Planned Improvement for 22/23 - we will: (link to action plan)	<ul style="list-style-type: none"> <li>• Delivery of the Economic Recovery Plan. <b>Throughout Action Plan</b></li> <li>• Delivery of key regional bids for digital and skills under the banner of the City Deal. <b>A34 &amp; E56</b></li> <li>• Delivery of Town Centre initiatives, including the Carmarthen Hwb (responding to the need to repurpose Carmarthen’s town centre). <b>A13, A10, A14, A15, A27, A28</b></li> <li>• To revisit the Disposals Policy for surplus schools with a particular emphasis being given to properties being used for community use in the future in order to help build stronger communities. <b>B46</b></li> <li>• Finalise remaining transfers and continue to consider asset transfers to support community led regeneration. <b>C52</b></li> <li>• Collaborate with experts from the private sector and 3rd sectors to develop innovative solutions on our estate to becoming net zero carbon.</li> <li>• Establish a Community Benefits group that brings together CCC, Bouygues and supply chain partners, Gleeds and local stakeholders (Coleg Sir Gar and wider employability/training initiatives such as Workways). <b>D53 &amp; D54</b></li> <li>• Collaborate with training partners, care providers and employers across the public and private sector to develop a Care Academy at Pentre Awel. <b>D53 &amp; D54</b></li> <li>• Continue to work in close partnership with Regional Local Authorities, Universities, Health Boards, wider Public Sector and Private Sector to ensure successful delivery of our Regional and Local Digital Connectivity Programmes. <b>E55 &amp; E56</b></li> </ul>

<b>5. Involvement</b>	<i>Importance of <b>involving</b> people with an interest in achieving the well-being goals, and ensuring that those people reflect the diversity of the area</i>
<i>How good are we at this?</i>	<b>Partial</b>
Self-Assessment Review:	<ul style="list-style-type: none"> <li>• Ongoing facilitation of Town Centre Regeneration Forum in Carmarthen, Task Forces in Ammanford &amp; Llanelli (to assist in the development and delivery of regeneration master-plans for those towns.</li> <li>• Ongoing COVID recovery task groups and also BREXIT Officer / Member Group.</li> <li>• Continued work on the community masterplan in Tyisha, with a delivery plan for taking forward the work and on-going engagement with the community.</li> <li>• Ongoing work with businesses across the county to support growth and prosperity.</li> <li>• We will continue to work closely with partner public sector organisations, identifying opportunities where appropriate for the transfer of surplus/vacant land and property between publicly funded bodies in Wales via the Land Transfer Protocol process.</li> <li>• Continued to assist third sector and community groups with property advice in relation to asset transfer initiatives. Review of Asset Transfer Policy and Better Ways of Working will involve integrated impact assessment.</li> <li>• Pentre Awel consultation with core partners and third sector stakeholders has been carried out throughout the project. Community engagement has been a part of the development of the project and will continue as part of the service planning process. The project team engaged the Carmarthenshire Disability Partnership (CDP) during the design development phase to allow due consideration to be given to accessibility and inclusivity in relation to building facilities and layout.</li> </ul>
Planned Improvement for 22/23 - we will: (link to action plan)	<ul style="list-style-type: none"> <li>• Continued delivery of the Economic Recovery and Delivery Plan <b>Throughout Action Plan</b></li> <li>• Available assets will be flagged on the electronic property information and mapping service for the public sector (e-PIMS).</li> <li>• Undertake consultations with third sector partners to learn from previous transfer experience and review policy. BWoW to be taken through IIA.</li> <li>• Implement the Pentre Awel Communications Plan to involve local stakeholders in Bouygues' Community Benefits programme and raise awareness of the education, health, research and business opportunities. Through 'widening access', we will work to improve aspirations locally by highlighting opportunities available for education and work both within Pentre Awel and wider. <b>D53 &amp; D54</b></li> <li>• Continue to involve a diverse range of partners and stakeholders in the delivery of all Digital Infrastructure initiatives both locally and regionally. <b>E55 &amp; E56</b></li> </ul>

## Divisional Summary Action Plan

Key: Moving Rural Carmarthenshire Forward - MFR

Ref #	Key Actions and Measures	By When or EOY Target?	By Who? Responsible Officer	Scrutiny	WBO Ref & Step WBOX/a
<b>A Economic Development</b>					
1	We will work with partners to deliver a range of support services to support the development and growth of the third sector within the County. (14006)	31/03/2023	Helen Morgan	C& Regen	WBO4-D
2	We will investigate and monitor the impact of Brexit on the economy of Carmarthenshire via the Brexit Risk and Opportunities Register. (14015)	31/03/2023	Helen Morgan	C& Regen	WBO5-F
3	We shall consider opportunities to work with other local authorities and partners to establish a Rural Deal to focus on rural regeneration and continue to deliver support through the Leader programme. (14893)	31/03/2023	Helen Morgan	C& Regen	WBO5-C
4	We will continue to maximise the draw-down of funding from external sources via the new funding programmes and support/undertake their delivery, e.g. the £2.9m award from UK Government's Community Renewal Fund. (14919)	31/03/2023	Helen Morgan	C& Regen	WBO4-D
5	We will continue to promote the County's tourism potential via the Celtic Routes project. (14920)	31/03/2023	Helen Morgan	C& Regen	WBO4-D
6	That the Council works with partners to develop a co-ordinated approach to identifying, supporting and developing volunteering across the County. MFR-42	31/03/2023	Helen Morgan	C& Regen	WBO4-D MFR-42
7	That the Council ensures a focus on the further development of the Foundational Economy sector within Carmarthenshire whilst supporting the principles of the Circular Economy. MFR-3	31/03/2023	Helen Morgan	C& Regen	WBO5-D MFR-3
8	That the Council continues to make grant funding available to support the growth aspirations of the County's businesses and communities via external funding programmes.	31/03/2023	Helen Morgan	C& Regen	WBO5-C MFR
9	That the Council works with other business support agencies and services (e.g. Business Wales, Business in Focus, Farming Connect etc) to enable greater clustering of support and signposting to local businesses. MFR-7	31/03/2023	Helen Morgan	C& Regen	WBO5-D MFR-7
10	Development of recovery and growth plans for Ten Rural Market Towns and to commence delivery of interventions identified. (15142)	31/03/2023	Rhian Phillips	C& Regen	WBO5-C ERP
11	Investigate and develop opportunities to develop community-based hubs in rural areas. (15143)	31/03/2023	Rhian Phillips	C& Regen	WBO5-C ERP
12	Supporting local businesses by creating a digital platform to showcase local produce and to provide an additional outlet for local businesses. (15152)	31/03/2023	Rhian Phillips	C& Regen	WBO5-G ERP
13	We will deliver the Carmarthen Town Centre Recovery Masterplan by Delivering Initiatives and Projects to include: Jackson Lane Development, Town centre key building acquisitions, various transforming towns and CRF revenue initiatives and delivery of LUF Funded Carmarthen & Pembroke Hwb project.	31/03/2024	Mike Bull	C& Regen	WBO5-B NEW
14	We will deliver the Ammanford Town Centre Recovery Masterplan by delivering initiatives and projects to include: Carregamman Car Park Greening, CRF – revitalise Rhydaman and Transforming Towns Revenue Initiatives.	31/03/2023	Mike Bull	C& Regen	WBO5-B NEW
15	We will deliver the Llanelli Town Centre Recovery Masterplan by delivering a number of transformational projects including the redevelopment of the former YMCA, etc. (13167)	31/03/2023	Tess Peregrine	C& Regen	WBO5-B
16	We will deliver the Cross Hands Growth Zone and bring forward developments at Cross Hands East Phase 2; Strategic Employment Site. (13164)	31/03/2025	Tess Peregrine	C& Regen	WBO5-B

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Ref #	Key Actions and Measures	By When or EOY Target?	By Who? Responsible Officer	Scrutiny	WBO Ref & Step WBOXX/a
17	We will further develop the Carmarthenshire Coastal Belt at Llanelli, Burry Port and Pembrey. (13168)	31/03/2023	Tess Peregrine	C& Regen	WBO5-B
18	We will further develop the Carmarthenshire Coastal Belt at Pendine by delivering the Pendine Attractor Project. (13169)	31/03/2023	Mike Bull	C& Regen	WBO5-B
19	We will deliver regeneration initiatives that focus on the development of the rural market towns in the County via projects and initiatives such as the 10 Towns capital fund, Rural Employment Space Joint Venture, Laugharne Car Park and Llandeilo Market Hall. (13175)	31/03/2024	Mike Bull	C& Regen	WBO5-C
20	We will continue to deliver both the Commercial Property Development Fund and Rural Enterprise Fund (Existing and New Funds) to stimulate a total estimated economic investment into the County's economy of £20 million. (14011 AND 14012)	31/03/2024	Mike Bull	C& Regen	WBO5-D
21	We will provide business support to start up and established businesses including self-employed and micro businesses by delivering a programme of business grants with a focus on helping businesses to grow. (14894)	31/03/2023	Tess Peregrine	C& Regen	WBO5-D ERP
22	To engage with Carmarthenshire businesses within key sectors and/or key growth areas via a prioritised business engagement list. (15119)	31/03/2023	Tess Peregrine	C& Regen	WBO5-D ERP
23	To provide business support in relation to public sector tender pipeline opportunities and lower value procurement opportunities. (15125)	31/03/2023	Tess Peregrine	C& Regen	WBO5-D ERP
24	Launch a Business Renewable Energy Fund to support businesses with renewable energy initiatives and carbon reduction. Support up to 50% of the project cost to a maximum of £10,000. (15137)	31/03/2023	Tess Peregrine	C& Regen	WBO5-D ERP
25	Liaise with forward planning to put in place Local development Orders for Primary Towns and strategic employment site at Cross Hands East (15144)	31/03/2023	Stuart Walters	C& Regen	WBO5-B ERP
26	That the Council considers demand and opportunities for the development of medium sized food based business and production units. MFR-37	31/03/2023	Stuart Walters	C& Regen	WBO5-B MFR-37
27	In line with the Audit Wales Report <u>Regenerating Town Centres in Wales – National Report</u> Sept 2021, recommendation 4, we will through the multi-disciplined corporate enforcement group implement the Empty Property Action Plan, using potential loan funding from Welsh Government's Empty Property Management Fund to utilise necessary enforcement powers where appropriate.	31/03/2023	Stuart Walters	C& Regen	WBO5-C Audit Wales Regenerating Town Centres
28	In line with the Audit Wales Report <u>Regenerating Town Centres in Wales – National Report</u> Sept 2021, recommendation 6, we will use the regeneration tool to self-assess our town centre regeneration work where necessary. <u>(the tool is here)</u> . (Linked on PIMS to:15142 & 15146)	31/03/2023	Rhian Phillips Stuart Walters	C& Regen	WBO5-C Audit Wales Regenerating Town Centres ERP
<b>Measures</b>					
29	EconD/001: Direct Jobs created ( <i>change of definition to Inc jobs accommodated &amp; No. into Jobs</i> ) with Regeneration assistance. 2021/22 Target: 1160, 22/23 Target:1000 (TBC)	1,000 (TBC)	Mike Bull	C& Regen	WBO5-B
30	New: Indirect Jobs Created (indirect and construction jobs) with Regeneration assistance. new measure 22/23 Target: 150 (TBC)	150 (TBC)	Mike Bull	C& Regen	WBO5-B ERP
31	New: The number of jobs safeguarded with Regeneration assistance. new measure 22/23 target 500 jobs safeguarded (TBC)	500 (TBC)	Mike Bull	C& Regen	WBO5-B ERP
32	New: The number of business enquiries supported. new measure 22/23 target 2500 enquiries supported (TBC)	2,500 (TBC)	Mike Bull	C& Regen	WBO5-D ERP
33	EconD/008: The level of Private Sector Investment / external funding secured (£). (EconD/008) - 2021/22 Target: £9,792,346, 22/23 Target 10,000,000 (TBC)	£10M (TBC)	Mike Bull	C& Regen	WBO5-D

Ref #	Key Actions and Measures	By When or EOY Target?	By Who? Responsible Officer	Scrutiny	WBO Ref & Step WBOXX/a
<b>Regional Partnership</b>					
34	Deliver the £30million Skills and Talent Programme to create a skilled workforce for the future, developing opportunities to upskill and train at least 3500 individuals in the county and increase the % of Carmarthenshire citizens with above level 3 qualifications by 2026. (13176)	31/03/2023	Jane Lewis	C& Regen	WBO5-E
35	Develop a digital training programme to upskill citizens across the region to meet the changing digital skills needs. (15114)	31/03/2023	Jane Lewis	C& Regen	WBO5-E ERP
36	Create apprenticeships & graduate opportunities internally and via Property Minor Works & Regional Contractor Framework partners that will include 52 weeks training and skills opportunities (Regen). (15115)	31/03/2023	Jane Lewis	C& Regen	WBO5-H ERP
37	Provide an urgent support mechanism for those at risk of redundancy or have lost their job by utilising existing employability skills & expertise from within CCC. Promote a contact number/details & support available, support to include advice and guidance; jobs fairs and training where required to support people into work. (15131)	31/03/2023	Jane Lewis	C& Regen	WBO5-E ERP
38	Provide support through Employability programmes, identifying key training and skills opportunities through engagement with businesses & identifying key skills required. Departments within CCC will work with the RLSP to identify key skills gaps. (15132)	31/03/2023	Jane Lewis	C& Regen	WBO5-E ERP
<b>Measures</b>					
39	% of adults that feel more positive with improved confidence about seeking work after receiving employability support through Workways, Communities 4 Work and Communities 4 Work Plus Programmes (EconD/020) – 2021/22 Target: 100	100%	Amy Wakefield /Shan Williams	C& Regen	WBO4-C
40	% of residents that feel more confident in using a computer and gaining IT skills after receiving digital inclusion support through Workways, Communities 4 Work and Communities 4 Work Plus Programmes (EconD/021) – 2021/22 Target: 100	100%	Amy Wakefield /Shan Williams	C& Regen	WBO4-C
41	The number of accredited qualifications achieved by residents attending Employment related courses within the Workways, Communities 4 Work and Communities 4 Work Plus Programmes (EconD/022) – 2021/22 Target: 200	200	Amy Wakefield /Shan Williams	C& Regen	WBO4-C
42	New: Number of skills and Qualifications achieved by self-employed / micro businesses -250	250	Jane Lewis	C& Regen	WBO5-E ERP
43	New: Qualifications achieved within high growth sectors/ employment pathways - 300	300	Jane Lewis	C& Regen	WBO5-E ERP
44	New: Number of employees supported through employability schemes to earn real living wage - 200	200	Jane Lewis	C& Regen	WBO5-E ERP
45	New: Increased digital skill competency levels - 200	200	Jane Lewis	C& Regen	WBO5-E ERP
<b>B Property and Major Projects</b>					
46	We will generate capital receipts through the disposal of surplus properties to support the Councils Capital Programme. <b>Milestone for 2022/23 to generate capital receipts of £1.56m – subject to a review that will be undertaken of the capital receipts programme and targets for the next 5 years with a report to be presented to Cabinet.</b>	31/03/2023	Peter Edwards	P&R	WBO13-B6
47	We will support the delivery of the Council's Housing Regeneration and Development Delivery Plan through acquiring identified land and buildings.	31/03/2025	Peter Edwards	P&R / C& Regen	WBO6-A & WBO5-G
48	We will lead on and complete all land acquisitions required to facilitate strategic highway schemes such as Cross Hands Economic Link Road and Towy Valley Cycleway. (13181)	31/03/2025	Richard Evans	C& Regen	WBO5-G & WBO11

Ref #	Key Actions and Measures	By When or EOY Target?	By Who? Responsible Officer	Scrutiny	WBO Ref & Step WBOXX/a
49	We will expand the size and number of Street Markets in the County subject to the demand being sustained to help business start-ups and strengthen our town centre economies.	31/03/2023	Richard Evans	C& Regen	WBO5-G
50	To actively promote, market and deliver development opportunities in relation to: 1. The Costal Belt; 2. Town Centres; 3. Cross Hands East Strategic Employment Site - <b>Milestone for 2022/23 - to agree terms for 3 employment sites.</b>	31/03/2023	Peter Edwards/ Richard Evans	C& Regen	WBO5-B
<b>Measures</b>					
51	% performance against target to generate capital receipts to support the capital program (2.1.2.12) – 2022/23 Target: 100%	100%	Peter Edwards	P&R	WBO13-B6
<b>C Strategic Asset Management</b>					
52	We will review and formally adopt the Council’s Corporate Asset Management Plan by March 2023.	31/03/2023	Stephen Morgan	P&R	WBO13-B4
<b>D Pentre Awel</b>					
53	As part of the City Deal we will deliver a whole-site project plan for Pentre Awel, to include design and build, service/business planning, public engagement and securing private sector financing to ensure benefits maximisation and ongoing sustainability. (12985)	31/03/2024	Richard Reynolds	C& Regen	WBO5-A
54	Continuation of delivery of projects on key strategic sites with a view to job creation and growing the economy: Pentre Awel. (15155)	31/03/2023	Sharon Burford	C& Regen	WBO5-A ERP
<b>E Digital Programme</b>					
55	Work with all relevant partners and stakeholders to address issues of poor broadband connectivity and mobile coverage across the County, particularly in rural areas. (14892)	31/03/2023	Gareth Jones	C& Regen	WBO5-G ERP
56	We will continue to lead the £55 million investment in Digital Infrastructure across Carmarthenshire and the wider Swansea Bay City Region. (14921)	31/03/2023	Gareth Jones	C& Regen	WBO5-G ERP
<b>Measures</b>					
57	Ensure at least 91% of premises across Carmarthenshire have access to Superfast broadband connectivity or better (ICT/007)	91%	Gareth Jones	P&R	WBO13-B3
58	New: Ensure at least 40% of premises across Carmarthenshire have access to Gigabit capable broadband.	40%	Gareth Jones	P&R	WBO13-B3

### Business and Cabinet Support Business Unit: Nicola Evans

#### Unit Profile

The Business and Cabinet Support Service is responsible for providing a range of corporate, departmental and service specific support within the Chief Executive's Department:



- business support to the Chief Executive
- business support to the Leader
- business support to members of the Cabinet
- forward work programme support to Corporate Management Team
- departmental Management Team support
- administrative support in connection with the functions of the Lieutenancy,
- support for Royal Visits, ceremonial duties, honours and presentations made by the Lord-Lieutenant on behalf of Her Majesty the Queen
- creditors and debtors processes for department
- mail handling at County Hall, Carmarthen
- staff ID system
- support to Electoral Services team in relation to postal votes
- provide secretariat services for a number of corporate groups.

#### Self-assessment of performance in 2021/22


The Business Unit continued to respond and contribute to the Authority's response to the pandemic in a pragmatic manner, ensuring all essential services to staff and Members were prioritised and provided, to ensure continuation of core services.

Since the outbreak of Covid, the team has adopted a hybrid approach to working, some officers have attended the workplace due to the nature of their role, whilst others have continued to work from home. As a result, we have continued to review our processes to identify better ways of working. We have also accommodated the sharing of staff to ensure critical services have continued to be provided, ie a member of staff has worked in the creditors service to cover an extended period of staff absence.

The Unit supported *all Gold Command meetings* for Covid and major floodings. We have also supported the *Planning Assurance Board and Planning Intervention Board* who met weekly.

We worked closely with the Electoral Services Team in ensuring the postal vote opening system was in place and carried out in an effective manner working within very tight timescales and rigid working practices for the Police and Crime Commissioner and Senedd elections during May 2021.

 [Links to sources of evidence \(Regulatory Reports, Member T&F, etc.\)](#)

 See [sources of evidence to inform self-assessment as outlined in Local Government and Elections Act 2021](#)



## Key Areas for Improvement arising from Self-assessment

(including Regulatory Report (WAO/FG), Member T&F, TIC and Consultation Findings; addressing bottom quartile results, etc.)

### Moving Forward

The Business Unit will continue to provide support to the department, staff and Members.

We will support the Corporate Resources Department by being the first unit to implement the 'No PO No Pay' initiative. The initiative will increase compliance with existing financial procedure rules, whereby supplier invoices are rejected if they are not able to provide a PO number. This approach applies to the purchase of goods and services from suppliers only, it does not cover 3<sup>rd</sup> party payments for example grant recipients. **A1**

We will continue to work with colleagues in the TIC Team and implement any recommendations from their reviews that impact on our work area, ie electronic signatures, staff travel system, hybrid mail system, storage. **A2 & A3**

We will also implement all recommendations from Internal Audit reviews, ensuring that any procedural / administrative changes are implemented. **A3**

As part of better ways of working, we will continue to work with business unit managers to further develop paperless processes and systems. **A1 & A2**

A number of officers are attending specific election postal votes training in the new year. This will ensure that we plan and are prepared for Local Authority and Town & Community Council elections in May 2022.

Following the elections in May 2022, we will work with the incoming administration to develop a Moving Forward Strategy and agree member portfolios. **A4**

★ Address & cross-reference any actions arising within the Business Unit Action Plan section below if applicable

## Risks

Risk Ref or New?	Risk score after mitigation	Identified Risk	Business Unit Action Plan Ref No.
		All risks can be profiled in the Divisional Plan. In this departmental plan the Division should identify: <ol style="list-style-type: none"> <li>1. Any Risks that it has on the <b>Corporate Risk Register</b></li> <li>2. <b>Significant Risks</b> (scored 16+)</li> <li>3. <b>Service High Risk</b> (scored 12+)</li> </ol>	
		No Corporate or Service Risks identified.	

★ All Corporate, Significant Risks and Service High Risks must be addressed in the Business Unit Action Plan below

## 5 Ways of Working

<b>1. Long Term</b>	<i>The importance of balancing short-term needs with the need to safeguard the ability to also meet <b>long term</b> needs</i>
<i>How good are we at this?</i>	<b>Partial</b>
Self-Assessment Review:	As a service we welcome the introduction of better ways of working ensuring our service users benefit from the changes we make to our process.
Planned Improvement for 22/23 - we will: (link to action plan)	Continue to streamline processes especially those that are heavily reliant on paper. Implement all recommendations from TIC and Internal Audit reviews. <b>A1 &amp; A2</b>
<b>2. Prevention</b>	<i>How acting to <b>prevent</b> problems occurring or getting worse may help public bodies meet their objectives</i>
<i>How good are we at this?</i>	<b>Strong</b>
Self-Assessment Review:	The Unit proactively supports managers within a number of functions, such as HR processes, financial regulations, procurement.
Planned Improvement for 22/23 - we will: (link to action plan)	Implement all recommendations from TIC and Internal Audit reviews. <b>A3</b>
<b>3. Integration</b>	<i>Considering how well-being objectives may <b>impact</b> upon each of the well-being goals, on their other objectives, or on the objectives of other public bodies</i>
<i>How good are we at this?</i>	<b>Strong</b>
Self-Assessment Review:	Development of the forward work programme for Corporate Management Team ensuring reports are tabled at the appropriate timings and in line with the democratic committee cycle.
Planned Improvement for 22/23 - we will: (link to action plan)	Continue to review the forward work programme with departmental report co-ordinators. <b>A6 &amp; A8</b>
<b>4. Collaboration</b>	<i>Acting in <b>collaboration</b> with any other person (or different parts of the body itself) that could help the body meet its well-being objectives</i>
<i>How good are we at this?</i>	<b>Partial</b>
Self-Assessment Review:	Development of the forward work programme for Corporate Management Team ensuring reports are tabled at the appropriate timings and in line with the democratic committee cycle.
Planned Improvement for 22/23 - we will: (link to action plan)	Continue to review the forward work programme with departmental report co-ordinators. <b>A8</b>
<b>5. Involvement</b>	<i>Importance of <b>involving</b> people with an interest in achieving the well-being goals, and ensuring that those people reflect the diversity of the area</i>
<i>How good are we at this?</i>	<b>Strong / Partial / None</b>
Self-Assessment Review:	
Planned Improvement for 22/23 - we will: (link to action plan)	

## Business Unit Action Plan

Ref #	Actions and Measures	By When or EOY Target?	By Who? Responsible Officer	Scrutiny	WBO Ref & Step WBOXX/a
<b>A</b>	<b>Business &amp; Cabinet Support</b>				
1	Ensure that all budget efficiencies agreed are delivered and identify potential efficiencies for future years.	31/03/23	Nicola Evans	P&R	-
2	Assist TIC with specific corporate efficiency projects.	31/03/23	Nicola Evans	P&R	-
3	Implement all TIC and Internal Audit recommendations from reviews that have an implication on the unit.	31/03/23	Nicola Evans	P&R	-
4	Work with the new administration to produce a Moving Forward Strategy.	31/03/23	Nicola Evans	P&R	-
5	Work with the new administration to agree member portfolios.	31/03/23	Nicola Evans	P&R	-
6	Produce a forward work programme for Corporate Management Team (CMT).	31/03/23	Nicola Evans	P&R	-
7	Ensure all CMT actions are followed up.	31/03/23	Nicola Evans	P&R	-
8	Produce a departmental forward work programme.	31/03/23	Nicola Evans	P&R	-
9	Co-ordinate Cabinet / Corporate Management Team Away Days.	31/03/23	Nicola Evans	P&R	-

# Electoral Services and Civil Registration: Amanda Bebb

## Divisional Profile



Both Electoral Services and Civil Registration are statutory services. The Registration Service includes the registration of births, deaths, stillbirths, marriages and civil partnerships, the provision of a certificate service and the provision of Citizenship Ceremonies. Electoral Services is responsible for the update and maintenance of the Register of Electors and the conduct of all elections relevant to Carmarthenshire.



Although the Registration Service is regulated by the Registrar General, the local and legal responsibility for the provision of the Service is given to the Proper Officer. The Proper Officer for Carmarthenshire is Wendy Walters, Chief Executive.

Wendy Walters is also the designated Returning Officer (or Deputy/ acting depending on the type of election) for all elections administered for Carmarthenshire. Electoral Services are also responsible for the update and maintenance of the Register of electors and any relevant boundary maintenance.

This Service area is also responsible for Coroner Services. Coroners although appointed and paid for by local councils, are not local government officers but holds office under the Crown. The current Acting Senior Coroner is Mr Paul Bennett for the Pembrokeshire and Carmarthenshire Jurisdiction. The Service therefore works with the Coroner and Pembrokeshire Council to ensure value for money, performance and financial efficiencies are achieved.

## Self-assessment of performance in 2021/22

The work of the *Registration Service* has been under such continuous spotlight during the last year as we moved through the global pandemic. The pressures of high increase in death numbers alongside a backlog in birth registration emerging from the 1<sup>st</sup> wave as well as handling continuous changes to ceremony delivery have been immense. The backlog of some 800 births were cleared down in 4 months of recommencing the service. Arrangements for marriages and civil partnerships continue to evolve.

Together with dealing with the pressures of the pandemic, major legislative change was introduced with the Marriage Schedule System. The introduction of this major change impacts members of the Clergy and Approved Persons who will no longer be responsible for completing the formal register for the marriages they solemnize.

Our Registration Staff have demonstrated considerable resilience, adaptability and an on-going commitment to deliver a professional and caring service during a time when they were worried about their own personal safety and that of their families. Coupled with this they have embraced new legislation.


The *Election Team* were tasked with administering a complex combined Police and Crime Commissioner election with Senedd Elections which saw 16- and 17-year-olds and foreign nationals voting for the first time at the Senedd elections, two different voting systems whilst putting in place new procedures throughout the election process to comply with public health guidance with the main aim to ensure that voters were confident that they could vote safely. Due to the lateness of legislation, the election team together with a highly skilled Election Project team showed great teamwork, a resilience and commitment to the long hours required to deliver a successful combined election.

## National Service Standards

Under the governance arrangements, Carmarthenshire Registration Service is committed to the service delivery standards developed by the General Register Office (GRO) and adheres to good practice guidance and the codes of practice. GRO guidance provides information on specific national standards the Local Authority must meet together with aspirational standards.

- Carmarthenshire Registration Service submits Annual Performance Reviews to the Registrar General confirming adherence to the Code of Practice, key service developments and performance indicators.
- Follow up discussions with the General Register Office Compliance Officers have confirmed that Carmarthenshire Registration Service continues to deliver services to an excellent level. The Service works to the Public Protection Counter Fraud framework to ensure compliance.
- Registration Officers meet regularly to discuss all aspects of the service and the Superintendent Registrar meets monthly with the Electoral Service and Civil Registration Manager to discuss registration matters and other local authority requirements.
- The Service is subject to Stock and Security reviews by the General Register Office and security of stock, data and fees is deemed paramount within this service. Registration officers and all staff are aware of the established security protocols and of the need to maintain robust filing and document retention systems. Up to date banking instructions and audit arrangements are in place. Cash handling and deposit arrangements are also appropriate.

 [Links to sources of evidence \(Regulatory Reports, Member T&F, etc.\)](#)

 [See sources of evidence to inform self-assessment as outlined in Local Government and Elections Act 2021](#)

## Key Areas for Improvement arising from Self-assessment

*(including Regulatory Report (WAO/FG), Member T&F, TIC and Consultation Findings; addressing bottom quartile results, etc.)*

- To take all opportunities to engage, contribute and support the retention of the current easements continuing with regards death registration being enabled by telephone and electronic transmission of documents.
- To build upon and strengthen the partnerships established during the pandemic – i.e., hospitals, Medical Examiners, Funeral Directors, Coroner, health board and our mass fatalities project group to ensure we meet our statutory duty and to support bereaved families through their registration journey.
- To determine if our opening times still meet customer trends and business needs by participating in relevant consultation with our customers, staff and key stakeholders to seek views that will help make a decision on service improvement. **A2**
- We will analyse our performance indicators-both internal and external (such as statutory duty to register deaths in 5 days, births within 42 days, number of certificate applications processed, number of 16/17 year olds resident within Carmarthenshire to percentage registered to vote, stats on number of electors registered : number actually voting), this vital information for both services will aid the decision-making process as well as assess the efficiency & effectiveness of service delivery. **A2**
- To address each service area staffing structure and develop a robust workforce equipped with the necessary skills and knowledge to enable service delivery in any exceptional circumstances
- To commence planning for the delivery of the Local Elections schedule to take place on 5 May 2022.
- To implement the Carmarthenshire Electoral Boundary order.
- The recruitment of an Engagement Officer, whose role will be to consult, engage and analyse registration and participation in the Local Elections 2022.

 **Address & cross-reference any actions arising within the Divisional Summary Action Plan section below if applicable**

## Key Risks

Risk Ref or New?	Risk score after mitigation	Identified Risk	Divisional Summary Action Plan Ref No.
		All risks can be profiled in the Divisional Plan. In this departmental plan the Division should identify: 1. Any Risks that it has on the <b>Corporate Risk Register</b> 2. <b>Significant Risks</b> (scored 16+) 3. <b>For Service High Risk (scored 12+), see Divisional Plan</b>	
CRR190031	12	Failure to comply with the requirements of the Local Government and Elections Wales Act in delivering Local Elections and not fulfilling our obligation to engage and promote registration and voting among 16–17-year-olds and other qualifying foreign nationals.	<b>B2</b>
New	-	Risk of not generating sufficient income to meet the income target as the Registration service is demand led. There is a risk of further Covid disruption, depending on infection rates.	
New	-	Loss of accommodation in relation to reduced Council owned buildings-this could impact on registration services. Secondly could have an impact on the administration of elections where a number of buildings are required.	

★ All Corporate and Significant Risks must be addressed in the Divisional Summary Action Plan below

## 5 Ways of Working

<b>1. Long Term</b>	<i>The importance of balancing short-term needs with the need to safeguard the ability to also meet <b>long term</b> needs</i>
<i>How good are we at this?</i>	<b>Strong</b>
Self-Assessment Review:	<p>The Council is committed to delivering the service in accordance with the Good Practice Guide with achievement to National Standard as a minimum. All Key Performance Indicators for both Statutory Standards and Operational Delivery Standards within the guide are measured. Achievement is reported to General Register Office (GRO) in the Annual Performance Report. The GRO assessment templates are used to ensure that standards of work meet the GRO statutory and operational delivery requirements. These standards help us to reflect on our staffing needs and plan for business continuity.</p> <p>Electoral Services are required to comply with the National electoral register data matching test then analyse results and act upon those results. The Electoral Administration Act 2006 gave the Electoral Commission powers to set and monitor performance standards for electoral services.</p> <p>Under these provisions, the Commission:</p> <ul style="list-style-type: none"> <li>determine and publish standards of performance for relevant electoral officers in Great Britain (Electoral Registration Officers and Returning Officers).</li> <li>Carmarthenshire elections team pride themselves on the joined-up work to ensure there is consistency in delivering elections within the Mid and West Wales region. The joined-up approach ensures we reflect on each Electoral Canvass and each election and put measurements in place from lessons learnt.</li> </ul>
Planned Improvement for 22/23 - we will: (link to action plan)	<p>We will continue to invest in meeting our service delivery standards and will strive to meet the changing needs of our communities by example:</p> <ul style="list-style-type: none"> <li>looking at the hours we operate and ensuring we have a robust staffing structure in place. We will engage with all sectors of our County, in particular young people on how we can help to encourage them to register and participate at relevant elections. <b>A3</b></li> </ul>

<b>2. Prevention</b>	<i>How acting to <b>prevent</b> problems occurring or getting worse may help public bodies meet their objectives</i>
<i>How good are we at this?</i>	<b>Strong</b>
Self-Assessment Review:	<p>Strong- Covid 19 impacted in every aspect of the Registration service. Business continuity plans and risk assessments were constantly being updated with the aim of maintaining staff levels and manage significant increases in workload. The profile of the service was raised and highlighted how important it was to work with key stakeholders in ensuring that the death journey for the bereaved was as painless as we could make it. We trained up additional staff from the Elections Team and staff from other departments, we participated and contributed to stakeholder meetings -both external and internal, operated a 7-day service at times whilst ensuring the well-being of the team.</p> <p>Detailed planning for an outcome of safe, fair and transparent elections was achieved with the delivery of the combined Police and Crime and Senedd Elections in May 2021.</p>
Planned Improvement for 22/23 - we will: (link to action plan)	<p>As both managers of Registrars and Elections have a key role to play in Wales i.e., Chair of the Wales Regional Group for Registration Services and Vice-Chair (Wales) of the Association of Electoral Administrators and Regional Chair for Wales Coroner Panel, we are in a position to positively contribute to national planning, have early access to proposed legislation etc and feed this back to our local authorities which will aid us in planning both short term and long term business continuity plans. We will continue to participate and contribute to regular Excess Deaths group meetings and monitor and plan for early indications of further waves.</p> <p>We will also work closely with the Elections' Project group in taking forward what we learnt from delivering the 21 elections when planning for the May 22 elections. <b>B1</b></p>
<b>3. Integration</b>	<i>Considering how well-being objectives may <b>impact</b> upon each of the well-being goals, on their other objectives, or on the objectives of other public bodies</i>
<i>How good are we at this?</i>	<b>Strong</b>
Self-Assessment Review:	<p>We contribute to commemorating life events such as birth registration and death registrations.</p> <ul style="list-style-type: none"> <li>• We ensure new parents are notified of the process in registering their new-born baby. We ensured that the back log of postponed birth registrations was dealt with quickly and efficiently when we were able to commence this process.</li> <li>• We also worked with our key partners to ensure that the death registration journey was conducted <u>with respect and dignity</u>.</li> <li>• We continued to deliver citizenship ceremonies as we know that it is important for this process to aid <u>social integration and community cohesion</u>.</li> <li>• Our work in training Registrars and ensuring they are up to date on legislation and guidance surrounding sham marriages and fraudulent use of certificates and fictitious birth certificates contribute to <u>the prevention of crime</u>.</li> </ul> <p>Our planned engagement activities on ensuring that all 16–17-year olds were given the opportunity to register and vote at the May 2021 elections were delivered working with young Influencers, Electoral Commission and our internal partners.</p>
Planned Improvement for 22/23 - we will: (link to action plan)	<p>We will continue to create equal access to our services, providing full bi-lingual options for all ceremonies and registration processes. We will provide awareness and if required training to our stakeholders such as funeral directors, venues licenced for ceremonies, GP practices and Coroner Services with the aim of strengthening harmonious, effective working relations.</p> <p>To work with Education sector on becoming more proactive in our activities to promote the importance of registration and voting and to analyse data provided on the number of 16–17-year olds in our county: the number registered to vote and utilising the findings of this data to make informed decisions on future engagement. <b>B2</b></p>

<b>4. Collaboration</b>	<i>Acting in <b>collaboration</b> with any other person (or different parts of the body itself) that could help the body meet its well-being objectives</i>
<i>How good are we at this?</i>	<b>Strong</b>
Self-Assessment Review:	<p>The Registration Service regularly asks customers to complete satisfaction surveys so that we can understand what is working well and meeting expectation and what isn't working well and could be improved upon. We have worked and will continue to work with external bodies such as the Home Office to deliver its Public Protection and Counter Fraud agenda. The General Register Office, where we have the opportunity to contribute to proposals to legislation change. In the last year we have worked with Welsh Government on their lockdown timetable on opening up marriages and strengthened our relations with funeral directors, mortuaries, Medical Examiners, Coroner Services and the local crematorium services – all working together to deliver a dignified death registration journey for families during what was very difficult times.</p> <p>Elections worked collectively with the Association of Electoral Administrators, Electoral Commission, Cabinet Office and Welsh Government to deliver a safe and fair election in May 2021. An elections project group was established that ensured all elements of the election planning was controlled and shared by key players.</p>
Planned Improvement for 22/23 - we will: (link to action plan)	To continue to build upon and strengthen relations with key stakeholders in ensuring that we all deliver our service to meet the needs of our customers. <b>A5</b>
<b>5. Involvement</b>	<i>Importance of <b>involving</b> people with an interest in achieving the well-being goals, and ensuring that those people reflect the diversity of the area</i>
<i>How good are we at this?</i>	<b>Strong</b>
Self-Assessment Review:	<p>Registration Service has been a key service during the pandemic and worked closely with key stakeholders in pulling together a robust plan for each wave of the pandemic, meeting on a regular basis to ensure that deaths of all faiths were managed with dignity and respect.</p> <p>Although there were periods where marriages were not allowed, giving much turmoil to couples, we worked with the couples and their external wedding venues in ensuring that we could marry them when convenient to all. We continued with the advice of our Senior Business Partners to conduct urgent weddings where one of the parties was seriously ill and not expected to recover, giving comfort to the couple.</p>
Planned Improvement for 22/23 - we will: (link to action plan)	<p>The Registration Service will work towards delivering shared outcomes with a number of key partners including the General Register Office, HM Passport Office, The Home Office and UK Visas and Immigration, the Department for Work and Pensions, the Department of Health and other central government departments.</p> <p>Electoral Services will ensure that there is a programme of engagement working with our educational establishments and youth organisations in ensuring all 14–18-year-olds are aware of their registration and voting rights. Work will continue beyond the May 2022 elections, using statistical information to move forward with engagement plans for all future elections. <b>B2</b></p>



## Action Plan

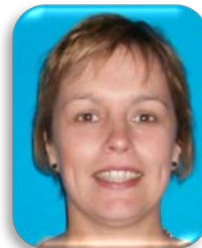
Ref #	Key Actions and Measures	By When or EOY Target?	By Who? Responsible Officer	Scrutiny	WBO Ref & Step WBOXX/a
<b>A Civil Registration and Coroner Services</b>					
A1	We will ensure that any potential merger of the coroner's jurisdiction with Swansea/Neath Port Talbot jurisdiction, results in a more resilient and consistent service for the bereaved people by working with key stakeholders including Pembrokeshire Council, Chief Coroner and Ministry of Justice.	Mar 23	Amanda Bebb	P&R	WBO13
A2	We will continue to provide the facilities to the Acting Coroner to ensure the backlog of inquests due to the Coronavirus Pandemic are conducted safely in a timely fashion to give closure to families and loved ones.	Mar 23	Amanda Bebb	P&R	WBO13
A3	We will continue to deliver a Registrars service that meets and exceeds the national standards in all areas by working closely with our stakeholders. to improve the quality of service providing high level services that give value for money and are based on best practice. We will also develop and retain highly skilled and valued officers who will have the right tools to deliver.	Mar 23	Andrea Rowlands	P&R	WBO13
A4	We will pursue the relocation of our Registration Office for the Ammanford area.	Mar 23	Andrea Rowlands	P&R	WBO13
A5.	We will administer and work with our stakeholders in delivering the Civil Partnerships, Marriages and Deaths (Registration etc.) Act 2019.	Mar 23	Andrea Rowlands	P&R	WBO13
A6	We will continue to develop lessons learned from the Coronavirus pandemic to inform how our future services can be delivered in line with the governments' digital agenda.	Mar 23	Andrea Rowlands	P&R	WBO13
A7	We will engage and build upon current relationship with Medical Examiner and Coroner Services in the planning for the introduction of the statutory Medical Examiner scheme.	Apr 22	Andrea Rowlands	P&R	WBO13
A8	We will continue to develop lessons learned from the Coronavirus pandemic to inform how our future services can be delivered in line with the governments' digital agenda.	Mar 23	Andrea Rowlands	P&R	WBO13
<b>Measures</b>					
	We will work with our key stakeholders <ul style="list-style-type: none"> <li>to ensure that we register births within the statutory timeframe of 42 days,</li> <li>non-coronial deaths within the statutory timeframe of 5 days,</li> <li>conduct all Citizenship Ceremonies within 60 days of the Home Office invitation</li> <li>and Issue 100% of Priority Service certificates within 24 hours</li> </ul>	Targets 42 days 5 days 60 days 100%	Andrea Rowlands	P&R	WBO13
<b>B Electoral Services</b>					
B1	To put in place robust planning and engagement arrangements for delivering the May 2022 combined Local and Town and Community Council Elections with the view of ensuring that all eligible electors are registered to vote, and we have in place the facilities for them to exercise their vote.	May 22	Amanda Bebb	P&R	WBO13

Ref #	Key Actions and Measures	By When or EOY Target?	By Who? Responsible Officer	Scrutiny	WBO Ref & Step WBOXX/a
B2	We will recruit an Engagement Officer whose role will be to primarily work with key stakeholders on delivering a timetable of activities to encourage registration and participation. The role and the activities will be assessed post May elections for their success and take forward lessons learnt for all future engagement.	Sept 22	Amanda Bebb	P&R	WBO13
B3	Review suitability of all polling station accommodation and provide instructions and guidance for polling station staff about temporary reasonable adjustments to make stations fully accessible and consult with representatives of disability groups regarding all aspects of registration and voting.	May 22	Amanda Bebb	P&R	WBO13
B4	To carry out an effective campaign to ensure that all 16- and 17-year-olds and foreign nationals newly enfranchised living within Carmarthenshire are registered and encouraged to participate in the Local Elections taking place on 5 May 2022.	May 22	Amanda Bebb	P&R	WBO13
B5	To expand the team of other Council staff who will gain knowledge and experience on all aspects of administering an election	May 22	Amanda Bebb	P&R	WBO13
B6	Publish and maintain an accurate and legally compliant Electoral register each year and maximise registration for target groups within the County	May 23	Amanda Bebb	P&R	WBO13
B7	To discharge the Council's increasing statutory responsibilities, required by local government and elections (wales) act 2021 and future proposed electoral reform, within the context of extraordinary financial constraints.	May 23	Amanda Bebb	P&R	WBO13



## Profile

Media, Marketing and Customer Service is a diverse unit which prides itself on delivering the highest standards for a range of services. The service has expertise in public relations, graphic design and print, media, advertising, social media, internal communications, web, digital, engagement, consultation, and translation. Our key aim is to ensure all messages are communicated bilingually and attractive in a way that appeals to our given audience. Communicating with our staff, elected members, our business community, our partners, and visitors is the key driver of our purpose, promoting the county as an attractive and commercially viable place to visit and invest in, through the regional and national campaigns that we lead on.



## Self-assessment of performance in 2021/22

The Media and Marketing service have again this year played a key role in supporting all divisions across the authority to effectively communicate in both Welsh and English relevant information to residents, businesses and stakeholders throughout the county ensuring consistency and relevancy across all communications.

As well as additional external communications that has been required for us to publish, the team has delivered a wide range of additional internal communications to support staff who have had to change the way they work including a growing demand on simultaneous translation of all democratic virtual meetings.

The team continues to play a key role in supporting businesses, particularly those in the tourism industry, to react and recover as restrictions are lifted and aim to ensure that they can benefit from targeted support and in creating campaigns that will continue to attract people to holiday and visit Carmarthenshire.

The additional demand on customer services during the past 12 months has been dramatic. It has been challenging to deliver a service due to the increase in service demand. It has been inevitable that there has been an increase in waiting times and number of abandoned calls. New processes and further discussions with specific services are taking place to reduce this as best we can. Recruitment has proved to be difficult, and we continue to look for additional staff to join the team to build resilience into the staffing structure.

The team also successfully trialled standby arrangement to assist with communication outside of normal working hours. This has been critical during recent events.

Some of the key campaigns and support provided during this time include:

- Prosiect Zero SirGar
- Tackling poverty
- Ty isha
- Housing and regeneration masterplan
- Preparing for election
- Levelling up and community renewal fund
- 20mph changes
- Hwb move to new town centre site in Carmarthen
- Canolfan Eto
- Waste strategy
- Regeneration recovery plan
- WESP
- Pentre Awel
- Recruitment
- Sandy Road consultation
- Conduct formal evaluation of Planning Hwb pilot to inform potential further roll out of approach in other services currently provided by Contact Centre

The pandemic continues to provide an additional strain on the team and its workload. With the general elections coming up and continual changes to covid regulations the team still have a considerable amount of work that cannot be scheduled, and timescales given.

 [Links to sources of evidence \(Regulatory Reports, Member T&F, etc.\)](#)

## Key Areas for Improvement arising from Self-assessment

(including Regulatory Report (WAO/FG), Member T&F, TIC and Consultation Findings; addressing bottom quartile results, etc.)

### Moving Forward

The Media and Marketing team will restructure to ensure the service can deliver and achieve the communication and marketing needs of the Authority and build on the high-class service to its internal and external customers.

To deliver the Council's key principle of *One Council, One Vision, One Voice*, moving forward we will structure in a way that will allow us to have a greater working relationship with partner organisations and ensure the Council brand is proactively promoted through all our communications channels consistently and in a way in which our customers want. **A1**

The service moving forward will be driven by the priorities, services and activity outlined in the corporate plans and we will use our resources and focus our energy to meet these priorities. Working closely with key services we must ensure a consistent, coordinated, and unified approach and department must plan to ensure that we support them in engaging with the right people, in the right way at the right time. **A3**

Key projects that we already know that will require our expertise include: **A1, A3, A7, A10**

- General elections
- Waste strategy
- Ten towns initiative
- Jobs and growth / Developing Carmarthenshire together
- Prosiect Zero Sir Gar / Tackling Climate Change together
- Sponsorship and advertising opportunities
- WESP
- Raising the profile of democracy and how we engage and consult with the public
- MEP
- Canolfan eto
- Pentre Awel
- Levelling Up (2) and community renewal fund (7)
- Major events and filming opportunities
- Post 16 education
- Digital transformation

Customer Services will continue to review all its processes to ensure that we deliver a clear customer journey for all council service enquiries.

- Identify other services where the first of point of contact enquiries could be dealt with by Contact Centre/ adopt a Hwb approach. **E6**
- Pushout and enhance the claim what's your service and develop a consistent approach within the Council to ensure all services manage customers with financial and wellbeing concerns in the same manner to avoid confusion and to build confidence and clarity. **E3**

★ Address & cross-reference any actions arising within the Business Unit Action Plan section below if applicable

## Risks

Risk Ref or New?	Risk score after mitigation	Identified Risk	Action Plan Ref No.
		1. Any Risks that it has on the Corporate Risk Register 2. Significant Risks (scored 16+) 3. Service High Risk (scored 12+)	
New	New	24/7 response cover to ensure we keep the public informed of any major incident that happens within the County.	
New	New	Adequate staff numbers to manage the current customer service demand.	
New	New	Translation being able to maintain a service to meet the Welsh language standards.	D1-4
New	New	Under various regulations we are required to communicate in an accessible manner (WCAG 2.1 AA standards) and adhere to data protection. Severe penalties and reputational damage is a factor if not met.	A1
New	New	To ensure the safe management of corporate or major events.	
New	New	Ensuring adequate additional measure are in place if traditional means of communication fail due to eg cyber attacks or major incident.	

★ All Corporate, Significant Risks and Service High Risks must be addressed in the Business Unit Action Plan below

## 5 Ways of Working

<b>1. Long Term</b>	<i>The importance of balancing short-term needs with the need to safeguard the ability to also meet <b>long term</b> needs</i>
<i>How good are we at this?</i>	<b>Strong</b>
Self-Assessment Review:	<ul style="list-style-type: none"> <li>Managing Customer Services day to day depending on changes to service and public demand is becoming more of a challenge. The long term needs to recruit more staff is critical for this service to progress and develop to become the front door for this council, providing a clear point of entry to each of our customers.</li> <li>Developing a corporate communications plan will allow communication and engagement to embed the responsibility with everyone who represents the Council. The strategy will be a key tool to assist and support everyone in knowing how to communicate with their audience.</li> <li>Effectively introduce and embed the County Council new brand across all communication work, to both internal and external audiences.</li> </ul>
Planned Improvement for 22/23 - we will: (link to action plan)	<ul style="list-style-type: none"> <li>Move Carmarthen Hwb to the town centre to improve accessibility and to introduce additional partners to the Hwbs, widening the offer to our customers. <b>E1</b></li> </ul>
<b>2. Prevention</b>	<i>How acting to <b>prevent</b> problems occurring or getting worse may help public bodies meet their objectives</i>
<i>How good are we at this?</i>	<b>Partial</b>
Self-Assessment Review:	<ul style="list-style-type: none"> <li>Support departments with their messaging by proactively promoting changes to services in the way customers wish to be informed.</li> <li>Continue with standby arrangement to assist with communication outside of normal working hours. This is critical when considering recent events.</li> <li>Improve communications with all staff and develop solutions to communicate effectively with frontline staff who do not have a council email address.</li> <li>We provide a translation service available to all council services which supports the Authority in ensuring all content and engagement is provided bilingually in Welsh and English.</li> <li>We coordinate consultation and engagement to ensure all residents are made aware and have had a voice into any key changes that are happening to services in a way that is easy to understand and follow.</li> </ul>
Planned Improvement for 22/23 - we will: (link to action plan)	<ul style="list-style-type: none"> <li>Develop a timeline of key council priorities to ensure relevant resources are given to key council objectives. <b>A1</b></li> </ul>

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	<ul style="list-style-type: none"> <li>Look at ways in how Council work can be coordinated and communicated jointly making the message easier to understand for our customers and ensure all our conversations are valuable. <b>A1</b></li> </ul>
<b>3. Integration</b>	<i>Considering how well-being objectives may <b>impact</b> upon each of the well-being goals, on their other objectives, or on the objectives of other public bodies</i>
<i>How good are we at this?</i>	<b>Strong</b>
Self-Assessment Review:	<ul style="list-style-type: none"> <li>We play a key role in supporting all Well-being Objectives 4 / 5 / 8 / 10 / 12 / 13 helping consult / engage / assist with comms / lead on customer experience etc. We also support all other well-being objectives.</li> <li>The new Carmarthenshire tourism brand and how this is developed with the customer in mind performs effectively to its given audience with specific campaigns such as walking, beaches and what's on figuring in the top five requests on a regular basis.</li> <li>Our Translation service continues to support the Council and other key partners to deliver their services bilingually.</li> <li>Continue to work with local, regional and national stakeholders to develop and deliver marketing actions to support post pandemic economic recovery, with focus on rural Carmarthenshire and seasonality.</li> </ul>
Planned Improvement for 22/23 - we will: (link to action plan)	-
<b>4. Collaboration</b>	<i>Acting in <b>collaboration</b> with any other person (or different parts of the body itself) that could help the body meet its well-being objectives</i>
<i>How good are we at this?</i>	<b>Partial</b>
Self-Assessment Review:	<ul style="list-style-type: none"> <li>We represent the County at the annual all Wales tourism summit and attend the quarterly South West Wales Regional Tourism Forum.</li> <li>Attend Customer Focus Wales.</li> <li>Hwb opens its doors to work collaboratively with other partners such as Dyfed Powys Police.</li> <li>We attend the all Wales warning and informing group to proactively look at how we manage emergencies.</li> <li>Regional corporate communications group chaired by Hywel Dda Health Board.</li> <li>We coordinate the public relations for the Dyfed Powys Police and Crime panel.</li> <li>Represent marketing and media on various cross departmental working groups and forums.</li> </ul>
Planned Improvement for 22/23 - we will: (link to action plan)	<ul style="list-style-type: none"> <li>Continue to work with partners and in a collaboratively way to ensure customers are kept well informed. <b>A1 &amp; A4</b></li> <li>Develop a corporate communications group to improve the way the Council communicate as one council, providing clarity and consistency to our audiences. <b>A3</b></li> </ul>
<b>5. Involvement</b>	<i>Importance of <b>involving</b> people with an interest in achieving the well-being goals, and ensuring that those people reflect the diversity of the area</i>
<i>How good are we at this?</i>	<b>Partial</b>
Self-Assessment Review:	<ul style="list-style-type: none"> <li>Developed relevant marketing and promotional campaigns to ensure our customers engage and understand the role of the local authority.</li> <li>Ensure all communication is available to our customers in the format they wish to find out about the local Authority.</li> <li>Ensure all correspondence is fully bilingual Welsh and English and involve customers in all that the Council deliver.</li> </ul>
Planned Improvement for 22/23 - we will: (link to action plan)	<ul style="list-style-type: none"> <li>We will work with other Council services to further develop the Council's involvement, participation, and consultation framework. <b>A1</b></li> <li>Improve further the accessibility of our communication and continue to educate services of the importance of clear and accessibly information is to ensure we reach all our audiences. <b>A3 &amp; A7</b></li> <li>Identify specific audiences that we need to reach and ensure we communicate with them in a way that is engaging and effective. <b>A4</b></li> </ul>

## Media, Marketing and Customer Service Action Plan

Ref #	Actions and Measures	By When or EOY Target?	By Who? Responsible Officer	Scrutiny	WBO Ref & Step WBOXX/a
<b>A Communications &amp; Marketing</b>					
1.	Deliver the council's corporate communications strategy following the key principle of <i>One Council, One Vision, One Voice</i> . As part of the launch of this strategy, communicate and embed a corporate communications standard across all departments to ensure the basic principles of communication are understood and utilised by all - for example, communications are always accessible, bilingual, friendly and with a clear call to action.	30/08/2023	Deina Hockenull	P&R	WBO13
2.	Improve forward planning to maximise timely and topical PR opportunities and coordination across departments.	31/03/2023	Laura Morris	P&R	WBO13
3.	Set up a cross-departmental corporate comms group to ensure a consistent and co-ordinated approach to communicating with staff and the public and use this group to map out the range of council communications resources and channels both internally and externally to ensure that key messages are communicated with the right audience, in the right way and at the right time.	30/06/2023	Diane Phillips	P&R	WBO13
4.	Service user involvement: The Council should develop a systematic approach to involving service users in the future design and development of its online/channel shifted services. <i>(14300 Regulatory Recommendation)</i>	31/03/2023	Deina Hockenull	P&R	WBO13 AW
5.	To work with services to create web content that places our customer at the heart of everything we communicate online and to highlight the importance of putting the customer first when creating new processes.	31/03/2023	Deina Hockenull	P&R	WBO13
6.	To continuously enhance our flagship websites in terms of content and functionality.	31/03/2023	Deina Hockenull	P&R	WBO13
7.	Improve communications with all staff by using a new corporate Teams channel and Sway with the aim of increasing engagement and provide budget savings. Develop solutions to communicate effectively with frontline staff who do not have a council email address.	31/03/2023	Laura Morris	P&R	WBO13
8.	Re-brand our internal communications across all departments so that it is consistent with corporate branding.	30/08/2023	Deina Hockenull	P&R	WBO13
9.	Support PMP to promote a new staff rewards platform (ICOM), communicate major organisational changes, assist with the new recruitment system and contribute to the development of a workforce engagement plan.	31/03/2023	Deina Hockenull	P&R	WBO13
10.	Plan and deliver priority campaigns that align with Cabinet objectives during the next 12 months, including Transforming Tyisha, Pentre Awel, Recycling (waste strategy and circular economy), Prosiect Zero Sir Gar etc.	31/03/2023	Diane Phillips	P&R	WBO13
11.	Ensure a planned and co-ordinated approach to engagement and consultation across the authority by developing a solution to coordinate requests. Communicate this approach across all departments to ensure consistency.	31/03/2023	Deina Hockenull	P&R	WBO13
12.	Working with local, regional and national stakeholders, develop and deliver marketing actions to support post pandemic economic recovery, with focus on rural Carmarthenshire and seasonality.	31/03/2023	Deina Hockenull	P&R	WBO5
13.	NEW: Increase the follower growth of the Council's Corporate Social Media account of <i>Facebook</i> (baseline: 20,000)	26,000 followers	Laura Morris	P&R	WBO13
14.	NEW: Increase the follower growth of the Council's Corporate Social Media account of <i>Twitter</i> (baseline: 11,000)	13,000 followers	Laura Morris	P&R	WBO13

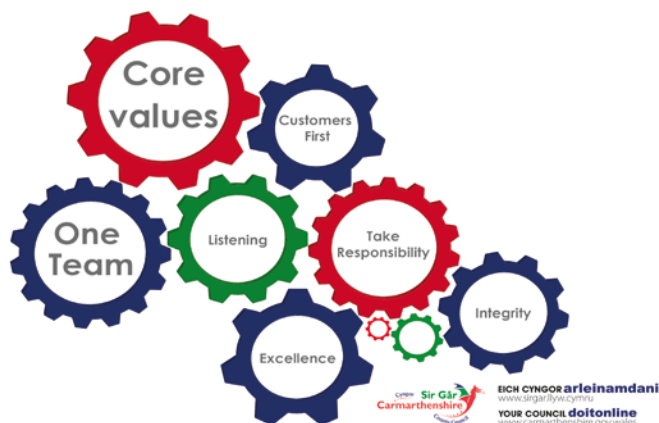
Ref #	Actions and Measures	By When or EOY Target?	By Who? Responsible Officer	Scrutiny	WBO Ref & Step WBOXX/a
15.	ICT/005 - Number of user sessions to the County Council website (Target 21/22: 2,750,000)	3,000,000 sessions	Deina Hockenhull	P&R	WBO13
<b>B Tourism</b>					
1.	Develop and deliver actions to increase local secondary spend from both overnight and day visitors.	31/03/2023	Huw Parsons	C& Regen	WBO12
2.	Increase the number and economic / branding value of film and screen productions in the County, liaising pre and during filming and promoting post.	31/03/2023	Huw Parsons	C& Regen	WBO12
3.	Attract and develop the number and value of major and signature events to Carmarthenshire, focusing on those that amplify the values of Carmarthenshire and deliver local benefits.	31/03/2023	Huw Parsons	C& Regen	WBO12
4.	That the Council builds on existing arrangements to work with all interested partners in the tourism sector to create and promote a Carmarthenshire destination offer. MFR-25	31/03/2023	Huw Parsons	C& Regen	WBO12
5.	That the Council works with all interested partners in the tourism sector and local communities to develop, support and promote a programme of year-round local events/festivals across the County MFR-26	31/03/2023	Huw Parsons	C& Regen	WBO12
6.	That the Council works with partners and the private sector to identify opportunities to address the current gap in terms of open air and all-weather provision in the County. MFR-27	31/03/2023	Huw Parsons	C& Regen	WBO12
7.	Establish a new brand and communication strategy to support increased value of visitor economy as well as brand value of local products and services to residents.	30/06/2023	Huw Parsons	C& Regen	WBO12
<b>C Advertising &amp; Branding</b>					
1.	Create and promote a digital support "toolkit" for local community event organisers that will enable them to plan and deliver safe, vibrant and sustainable activities.	31/03/2023	Deina Hockenhull	P&R	WBO13
2.	Effectively introduce and embed the County Council new brand across all communication work, to both internal and external audiences.	31/03/2023	Huw Parsons	P&R	WBO13
3.	Integrate more effective digital ordering and client relationship software package, increasing the efficiency and quality of design requests.	30/08/2023	Huw Parsons	P&R	WBO13
4.	Plan and implement campaign to attract external income through offering advertising opportunities through bus shelters and roundabouts.	31/03/2023	Deina Hockenhull	P&R	WBO13
5.	Increase the planning and understanding of advertising opportunities by providing online "Toolkit" outlining why's, how's and case studies.	31/03/2023	Deina Hockenhull	P&R	WBO13
<b>D Translation</b>					
1.	Use Déjà vu to its full potential and as efficiently as possible. Ensure that the terms in the terminology are correct and that we are consistent as translators.	31/03/2023	Helen Davies-Eynon	P&R	WBO12
2.	Improve customer awareness of what the translation service can provide.	30/08/2023	Helen Davies-Eynon	P&R	WBO12
3.	Simultaneous Translation – look at how to extend the Unit's simultaneous translation service for departments and creating a simultaneous translation protocol. Create a formal simultaneous translation request form similar to the written translation request on the new system coming into effect. Thus making the managing of requests more efficient.	31/03/2023	Helen Davies-Eynon	P&R	WBO12



Ref #	Actions and Measures	By When or EOY Target?	By Who? Responsible Officer	Scrutiny	WBO Ref & Step WBOXX/a
4.	Look further into grant funded / 3rd party work, making enquiries as to what projects are grant funded in order to report on further income opportunities for the Unit.	31/03/2023	Helen Davies-Eynon	P&R	WBO12
<b>E Customer Service</b>					
1.	Develop Carmarthen Hwb to include partnership working with employability projects and other agencies.	30/06/2023	Eifion Davies	P&R	WBO13
2.	Develop and promote the Claim <i>What's yours</i> initiative to support the Council's tackling poverty initiative which is responding to the current challenges faced by residents and communities.	31/03/2023	Deina Hockenhull	P&R	WBO13
3.	Produce corporate customer service standards to enable customers to receive the same level of service no matter where in the organisation they are dealt with and inform staff of the service expected.	30/06/2023	Deina Hockenhull	P&R	WBO13
4.	Produce a standard Enquiry / Contact Us form to be used online by customers ensuring that all information is received in a consistent format and that all relevant information is captured.	30/08/2023	Eifion Davies	P&R	WBO13
5.	Continually review processes and eforms with customers at the forefront to ensure that any online forms are easy to use for customers and gets the information to the relevant part of the organisation thus reducing double handling of data.	31/03/2023	Eifion Davies	P&R	WBO13
6.	Increase the number of customer service enquiries/requests that can be dealt with at first point of contact and strengthen processes for managing those requests that needed to be actioned within services.	31/03/2023	Eifion Davies	P&R	WBO13
7.	NEW: Number of residents requesting a face to face appointment at one of the three main town centre Hwbs (Carmarthen, Llanelli or Ammanford).	-	Eifion Davies	P&R	WBO13
8.	NEW: Number of calls handled at the Contact Centre.	-	Eifion Davies	P&R	WBO13
9.	2.2.2.20 - Average speed (mins) to answer calls to the Contact Centre.	5 mins	Eifion Davies	P&R	WBO13

## 4. Department Resources

### 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

### Seven areas of Corporate Change required

*The statutory guidance of the Well-being of Future Generations Act identifies seven areas where change needs to happen. These are:*

1	Corporate Planning
2	Financial Planning
3	Workforce Planning
4	Procurement
5	Assets
6	Risk Management
7	Performance Management

[More information on the 7 Areas of Corporate Change required](#)

#### 1. Corporate Planning

##### **See Section 2 - Strategic Context**

Following local government elections in May 2022 we will publish a revised Corporate Strategy incorporating Well-being Objectives.

#### 2. Financial Planning - Budget Summary

**See separate item at Budget Departmental Seminar / Budget Scrutiny for further information**

##### **Administration and Legal**

Budget setting process (Council 3<sup>rd</sup> March 2021)

<https://democracy.carmarthenshire.gov.wales/ieListDocuments.aspx?CId=155&MId=4219&Ver=4>

There is a corporate decision to move IT systems to a cloud based solutions which will result in significant additional costs and budget pressures. Systems within the service include Landcharges, Timebase, the Legal Services Case Management System and the Committee Management System (which transferred to a cloud solution as of October 2020).

A draft determination by the Independent Remuneration Panel for Wales proposed a significant increase in Member Salaries at approx. £250k per annum. A growth bid was successfully submitted for £200k to ensure that funding was available within this budget should the determination be confirmed in the final 2022 report.

<b>Regeneration</b>		
<b>Capital Covid Recovery £3.7m inclusive of:</b>	<b>Revenue Covid recovery £0.7m inclusive of:</b>	<b>Capital Funding (Non recovery related) £2m inclusive of:</b>
Transforming Towns £1.2m PDF £1m Ten Towns £1m Rural Enterprise fund £0.5m	Business Support fund £0.5m Business Skills support fund £0.2m	Business Renewable Energy Fund £0.5m £1.5m Capital allocation for Transformational Strategic Projects

## Financial Planning - Savings and Efficiencies

<b>Administration and Legal</b>
Reduction in Member travel budget due to multi-location meetings – a proportion of the members’ budget has been given up to achieve the necessary divisional budget savings.
<b>Regeneration</b>
<b>2022/23</b> Total £70k:- £20k - Anticipated increase in Income/reduction in operating costs on administrative estate through New Ways of Working. £25k anticipated decrease in utility costs on administrative estate due to reduced occupancy through continued agile working. £10k reduction in community grants. £15k supplies within industrial budget.
<b>2023/24:-</b> £30k additional income from Swansea University Parc Dewi Sant.
<b>2024/25:-</b> £30k anticipated increase in income / reduction in operating costs on admin estate through new ways of working

## 3. Key Workforce Planning Issues

<p><b>📌 <a href="#">Workforce Planning Toolkit</a> to help complete this section</b></p> <p>Need to identify:</p> <ol style="list-style-type: none"> <li>1. Current workforce issues?</li> <li>2. Future business priorities and implications on the workforce?</li> <li>3. What is your Development Plan to address the gap implications? (between 1 &amp; 2 above)</li> </ol> <p><b>Admin &amp; Legal</b></p> <p>Workload pressures, particularly since the beginning of 2020, have had a significant and detrimental impact upon staff health and well-being.</p> <p><b>People Management</b></p> <p>The age profile in some areas of the service is a cause for concern but we have developed contingency plans to meet potential succession planning requirements.</p> <p>However, the legacy costs of the pandemic has resulted in a steady growth in demand for our services post covid, with an increase in absences and referrals into our Wellbeing Support Services. Our Health &amp; Wellbeing and Occupational Health teams are relatively small and so we will need to grow the teams to meet demand.</p> <p>We will also need to respond to the recommendations resulting from the TIC review that will affect our Working Safely team.</p> <p><i>Workforce Planning</i></p> <p>There is a need to make better use of data and intelligence to help inform future workforce development requirements.</p> <p>Ensure that the service is able to further respond to the on-going recruitment and retention challenges within the social care sector via the Social Worker development programme and the integrated Awiff induction programme</p>
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The impact of the Covid-19 pandemic has further increased the demands for digital skills across all services and the service will need to ensure that it has also has the capacity and skills to respond to this approach

*People Services* - The age profile in some areas of the service is a cause for concern but we have developed contingency plans to meet potential succession planning requirements.

*Employee Services* – team will need to be re-skilled following recruitment review and implementation of the new recruitment system to reduce risk and increase resilience. Personal development plans will be created for each team member.

*Employer Pensions Administration* has seen an increase in demand to support the provision of data. Part of the Employee Services restructuring will look at identifying the level of resource required to meet this demand on an ongoing basis. Early indication suggest that an additional resource will be needed and that a growth bid will be submitted.

*Resourcelink Team* – we have successfully grown the number of MyView users which has helped to free up resources in departments and allowed us to relinquish a resource. However, we have seen a significant increase in demand for systems development and user support, so this part of the service will need to grow over the next 18 months to 2 years to meet demand.

The age profile in some areas of the service is a cause for concern but we have developed contingency plans to meet potential succession planning requirements.

*HR Business Partners* will continue to support their DMTs to develop workforce plans to support business priorities.

#### *TIC*

The lack of capacity within the services to support change and transformation objectives has been highlighted as a significant risk, and this has the potential to impact on its ability to progress a number of key priorities such as service improvement, commercialisation and its response to the NZC agenda. One of the objectives for the TIC programme will be to develop the capacity and skills within services to adopt a self-help approach to reviewing and challenging working practices and implementing the associated changes in a sustainable way. The TIC team is also looking make further use of data and information to support a more evidence based to identifying priorities and improvement activity and there will be a need to ensure that the team has the relevant skills and capacity to undertake this work.

### **Regeneration**

The Regeneration service workforce has proven to be very resilient and adaptable with its response to the pandemic. We have provided support to businesses, communities and vulnerable residents, delivering significant business support grants, providing business advice and support via a dedicated business contact centre, providing foodbank support and food parcel deliveries, creating a county wide community directory to signpost residents to services and support available locally.

The focus is now supporting the county's economy to recover. To deliver on this ambition we will:

#### 1. Identify current **workforce issues**:

- Hybrid working - (see 4 below).
- European funded staff seek other employment - XX% of regeneration posts are funded by EU grant. This funding will come to an end in March 2023. The work programmes however will need to continue beyond then to support our recovery proposals.
- Agency staff – we will be reviewing the use of Agency staff and identify permanent positions, where appropriate.

#### 2. Consider future **business priorities** and implications on the workforce:

- European funded programmes, e.g. LEADER ending in March 2023
- Greater focus required on business support and engagement with a focus on progressive procurement opportunities to increase our spend with local businesses

- Community Bureau function to be expanded to provide specialist Business Planning service for the Authority for external funding programmes and a corporate intelligence function, providing a central point for external funding across the authority.
  - Additional resource to be considered to support town centre recovery plans.
3. Develop a **Plan** to address the gap implications:
    - Seek alternative external funding to fund activities that are currently funded by the EU programmes and retain European funded staff via expanded Community Bureau Function
    - Recruit 2 Community Bureau funding officers
    - Recruit 2 Business Support officers
    - Recruit 2 regeneration officers
    - Utilise grant funding such as Transforming towns, WG JV and UK Gov LUF to fund specific posts for project delivery
  4. Consider **New Ways of Working** - It is anticipated that the service need for property floorspace will be significantly reduced as the regeneration unit embraces new ways of working. An approach will be developed in consultation with staff that provides accommodation that supports new ways of working coupled with utilisation of technology and digitisation of paper records to deliver a better service. Workspace will be a mix of team and shared zones, configured to support a hybrid working solution comprising a mix of agile collaborative workplace and home working, with staff rotated into the office environment taking into account service need and personal preference. This proposed new way of working will support staff induction, developing, training, and mentoring.
  5. Review **Property Management Structure** – A review will be undertaken with the intention of filling the vacant Property and Major projects post.
  6. Support **Staff Development** – Leadership training will be made available to aspiring future senior managers and the Regeneration Academi development programme “Igniting and building talent” will be re-established to support and develop staff knowledge and skills in key areas of competence reflecting their future ambition.
  7. Support **Continuous professional development** - As a service we are committed to continuous training and development of our staff, both in job-related skills and in their professional career development.

## 4. Procurement

### Admin & Legal

The service is under significant pressure from the ICT department to procure a new cloud based Land Charges Softyware package to replace the current, server based in-house ‘Ladybird’ software. Despite a lack of funding we are looking at available options with a view to moving away from Ladybird as soon as possible.

The service is also under significant pressure from the ICT Department to move its current case management software (Timebase) off the Council’s servers and onto the cloud. Again there is no funding for this but we are looking at all options to try and meet this request.

The Democratic Service will need to review and procure a new hybrid webcasting contract and it is anticipated that this will be at a much higher cost due to the decision to webcast all meetings and the need to increase our hosted content (number of hours footage) by 200 hrs plus.

### Regeneration

Sale of housing development sites where the authority will look to purchase a % of houses completed to a confirmed specification to add to the Council’s Housing stock, including: Cwm Y Nant, Dafen, Llanelli; Carmarthen West; Site 4 Burry Port; Residential sites Burry Port.

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## 5. Asset Management

Service Asset Management Plans currently being reviewed with Key issues as follows –

- Delivery of Phase 1 Pentre Awel
- Ten Towns programme and investment in strategic sites in town centres
- Review and confirm operational office need through BWOW workstream
- Review and confirm service non office needs, e.g., social care day centres etc.
- Provide draft Corporate Asset Management Plan to CMT (Q4 2022)
- Rural Estate Review with focus on impact of pollution regulations
- Review of Community Asset Transfer procedures following Town & Community Council consultations
- Review of Council's 5-year capital receipts programme
- Review of Land holdings to highlight opportunities in relation to phosphate mitigation, tree planting and energy generation as part of net zero carbon commitment
- Review and update of Council's disposal of schools policy.

## 6. Risk Management

*See Section 3 – Summary Divisional Plans*

Corporate and Significant Risks are identified within the Divisional Business Plan sections of this Departmental Plan.

## 7. Performance Management

### **Democratic Services**

All Scrutiny Committees prepare an Annual Report giving an account of the Committee's activities over the previous year.

### **Regeneration**

- The Economic Recovery Plan reports performance to the Regeneration Delivery Team (RDT) Board and Cabinet
- Pentre Awel Zone 1 Construction Board
- BREXIT Member / Officer Group
- 10 Towns Working Group
- BWOW Strategic Group

### **Electoral Registration and Registrars**

Under the governance arrangements, Carmarthenshire Registration Service is committed to the service delivery standards developed by the General Register Office (GRO) and adheres to good practice guidance and the codes of practice. GRO guidance provides information on specific national standards the Local Authority must meet together with aspirational standards.

Carmarthenshire Registration Service submits Annual Performance Reviews to the Registrar General confirming adherence to the Code of Practice, key service developments and performance indicators.

Follow up discussions with the General Register Office Compliance Officers have confirmed that Carmarthenshire Registration Service continues to deliver services to an excellent level. The Service works to the Public Protection Counter Fraud framework to ensure compliance. Registration Officers meet regularly to discuss all aspects of the service and the Superintendent Registrar meets monthly with the Electoral Service and Civil Registration Manager to discuss registration matters and other local authority requirements.

The Service is subject to Stock and Security reviews by the General Register Office and security of stock, data and fees is deemed paramount within this service. Registration officers and all staff are aware of the established security protocols and of the need to maintain robust filing and document retention systems. Up to date banking instructions and audit arrangements are in place. Cash handling and deposit arrangements are also appropriate.

## 5. Departmental Key Measures

Definition / Measure Reference (abbreviated definition is fine)		2019/20	2020/21				2021/22		2022/23	Cost Measure (£)
			All Wales Comparative data				Target set	Result (when available)	Target set (at EOY)	
		Our Result	Our Result	Quartile * to ****	Welsh Median	Welsh Best Quartile				
<b>Administration and Legal</b>										
NO MEASURES										
<b>ICT and Corporate Policy</b>										
ICT/002	% use of the ICT Self Service helpdesk	46.5%	58%	NOT APPLICABLE			60.5%	TBC	TBC	
ICT/003	Number of Transactional Council Services available to the public online	30	41	NOT APPLICABLE			45	TBC	TBC	
ICT/009	% of employee laptops with 4GB of memory (RAM) or under – <b>New 21/22</b>	-	-	NOT APPLICABLE			32%	TBC	TBC	
2.1.1.17	% of Freedom of Information Act request responded to in 20 working days	98.46%	96.87%	NOT APPLICABLE			90%	TBC	TBC	
2.1.1.18	No. of appeals to the Information Commissioner under the Act	4	2	NOT APPLICABLE			0	TBC	0	
2.1.1.19	No. of appeals resulting in the Council being compelled by the Commissioner to release information that had been withheld	0	1	NOT APPLICABLE			0	TBC	0	
<b>NEW 22/23</b>	% of staff at Level 3 of the Welsh language skills framework	-	-	NOT APPLICABLE			-	-	TBC	
<b>NEW 22/23</b>	% of posts recruited at the required level of the advertised post	-	-	NOT APPLICABLE			-	-	TBC	
<b>NEW 22/23</b>	No. of staff following Welsh language skills learning and improvement courses	-	-	NOT APPLICABLE			-	-	TBC	
<b>NEW 22/23</b>	No. & % of complaints completed within statutory deadline	-	-	NOT APPLICABLE			-	-	TBC	
<b>NEW 22/23</b>	No. of complaints relating to Welsh Language Standards received	-	-	NOT APPLICABLE			-	-	TBC	
<b>People Management</b>										
PAM/001	The number of working days lost to sickness absence per employee	10.7 days	7.7 days	****	8.4 days	7.7 days	9.6 days	TBC	TBC	
PAM/044	No. of apprentices on formal recognised apprenticeship schemes per 1,000 employees	34.4	27	NOT APPLICABLE			20	TBC	TBC	



Definition / Measure Reference  (abbreviated definition is fine)		2019/20		2020/21			2021/22		2022/23	Cost Measure (£)
				All Wales Comparative data			Target set	Result (when available)	Target set (at EOY)	
		Our Result	Our Result	Quartile * to ****	Welsh Median	Welsh Best Quartile				
<b>Regeneration</b>										
<b>Economic Development</b>										
EconD/001	Direct Jobs created ( <i>change of definition to Inc jobs accommd &amp; No. into Jobs</i> ) with Regen assistance	393	266	NOT APPLICABLE			1,160	TBC	1,000 (TBC)	
NEW 22/23	Indirect Jobs Created (indirect and construction jobs) with Regen assistance	-	-	NOT APPLICABLE			-	-	150 (TBC)	
NEW 22/23	No. of jobs safeguarded with Regen assistance	-	-	NOT APPLICABLE			-	-	500 (TBC)	
NEW 22/23	Number of business enquiries supported	-	-	NOT APPLICABLE			-	-	2,500 (TBC)	
EconD/008	Level of Private Sector Investment / external funding secured (£)	£16,247,339	£6,819,854	NOT APPLICABLE			£9,792,346	TBC	£10M (TBC)	
<b>Regional Partnership</b>										
EconD/020	% of adults that feel more positive with improved confidence about seeking work after receiving employability support	100%	100%	NOT APPLICABLE			100%	TBC	100%	
EconD/021	% of residents that feel more confident in using a computer and gaining IT skills after receiving digital inclusion support	100%	100%	NOT APPLICABLE			100%	TBC	100%	
EconD/022	No. of accredited qualifications achieved by residents attending Employment related courses	258	95	NOT APPLICABLE			200	TBC	200 (TBC)	
NEW 22/23	No. of skills & quals achieved by self-employed /micro businesses	-	-	NOT APPLICABLE			-	-	250 (TBC)	
NEW 22/23	Qualifications achieved within high growth sectors/ employment pathways	-	-	NOT APPLICABLE			-	-	300 (TBC)	
NEW 22/23	No. of employees supported through employability schemes to earn real living wage	-	-	NOT APPLICABLE			-	-	200 (TBC)	
NEW 22/23	Increased digital skill competency levels	-	-	NOT APPLICABLE			-	-	200 (TBC)	
<b>Property &amp; Major Projects</b>										
2.1.2.12	% performance against target to generate capital receipts to support the capital program	87.22%	12.39%	NOT APPLICABLE			100%	TBC	100%	

Definition / Measure Reference (abbreviated definition is fine)		2019/20		2020/21			2021/22		2022/23	Cost Measure (£)
				All Wales Comparative data			Target set	Result (when available)	Target set (at EOY)	
		Our Result	Our Result	Quartile * to ****	Welsh Median	Welsh Best Quartile				
<b>Digital Programme</b>										
ICT/007	Ensure at least 91% of premises across Carmarthen have access to Superfast broadband connectivity or better	-	-	NOT APPLICABLE			-	-	91%	
NEW 22/23	Ensure at least 40% of premises across Carmarthen have access to Gigabit capable broadband.	-	-	NOT APPLICABLE			-	-	40%	
<b>Direct Reports</b>										
<b>Business and Executive Board Support</b>										
	NO MEASURES									
<b>Electoral and Registration Services</b>										
NEW 22/23	Work with key stakeholders to register births within the statutory timeframe of 42 days,	-	-	NOT APPLICABLE			-	-	42 days	
NEW 22/23	Register non-coronial deaths within the statutory timeframe of 5 days	-	-	NOT APPLICABLE			-	-	5 days	
NEW 22/23	Conduct all Citizenship Ceremonies within 60 days of the Home Office invitation	-	-	NOT APPLICABLE			-	-	60 days	
NEW 22/23	Issue 100% of Priority Service certificates within 24 hours	-	-	NOT APPLICABLE			-	-	100%	
<b>Media and Marketing</b>										
NEW 22/23	Increase the follower growth of the Council's Corporate Social Media account of Facebook (baseline: 20,000)	-	-	NOT APPLICABLE			-	-	26,000	
NEW 22/23	Increase the follower growth of the Council's Corporate Social Media account of Twitter (baseline: 11,000)	-	-	NOT APPLICABLE			-	-	13,000	
ICT/005	No. of user sessions to the County Council website	2,050,954	2,969,796	NOT APPLICABLE			2,750,000	TBC	TBC	
NEW 22/23	No. of residents requesting a face to face appointment at one of the three main town centre Hwbs (Carmarthen, Llanelli or Ammanford).	-	-	NOT APPLICABLE			-	-	NO TARGET	
NEW 22/23	No. of calls handled at the Contact Centre.	-	-	NOT APPLICABLE			-	-	NO TARGET	
2.2.2.20	Average speed to answer calls to the Contact Centre.	-	-	NOT APPLICABLE			-	-	5 mins TBC	

## Well-being of Future Generations Act 2015

This is an 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.



## The Seven Well-being Goals of the Future Generations Act

## 7 National Goals

*A prosperous Wales*

An innovative, productive and low carbon society which recognises the limits of the global environment and therefore uses resources efficiently and proportionately (including acting on climate change), and which develops a skilled and well-educated population in an economy which generates wealth and provides employment opportunities, allowing people to take advantage of the wealth generated through securing decent work.

*A resilient Wales*

A nation which maintains and enhances a biodiverse natural environment with healthy functioning ecosystems that support social, economic and ecological resilience and the capacity to adapt to change (for example climate change).

*A healthier Wales*

A society in which people's physical and mental well-being is maximised and in which choices and behaviours that benefit future health are understood.

*A more equal Wales*

A society that enables people to fulfil their potential no matter what their background or circumstances (including their socio-economic background and circumstances).

*A Wales of cohesive communities*

Attractive, viable, safe and well-connected communities.

*A Wales of vibrant culture and thriving Welsh Language*

A society that promotes and protects culture, heritage and the Welsh language, and which encourages people to participate in the arts, and sports and recreation.

*A globally responsible Wales*

A nation which, when doing anything to improve the economic, social, environmental and cultural well-being of Wales, takes account of whether doing such a thing makes a positive contribution to global well-being

## Local Government and Elections Act 2021

Our performance and governance arrangements for 2021/22 will be evaluated under the requirements of the new Act.

[Statutory guidance on the performance and governance of councils](#)  
[\(Part 6 of the Local Government and Elections \(Wales\) Bill\)](#)

### The statutory duties placed on the Council :

#### 1. **Duty to keep performance under review**

The Act requires a council to keep under review the extent to which it is fulfilling the 'performance requirements' that is, the extent to which it is:

- exercising its functions effectively.
- using its resources economically, efficiently and effectively; and
- has effective governance in place for securing the above.

#### 2. **Duty to consult on performance**

A council must consult a range of people at least once in each financial year about the extent to which the council is meeting the performance requirements. The statutory consultees are local people, local businesses, staff of the council and Trade Unions.

#### 3. **Duty to report on performance**

A council must produce a self-assessment report in respect of each financial year including actions improvement. This must go to the Governance and Audit Committee.

#### 4. **Duty to arrange a panel assessment of performance and respond to it**

A council must arrange for a panel to undertake an assessment.  
 This will apply sometime after the May 2022 Election.

### The Act also references duties from other related Acts

#### 5. **Well-being of Future Generations Act**

The performance and governance provisions in the Bill are framed within the wider sustainable development duties of the Well-being of Future Generations (Wales) Act 2015, which sets out a legally binding common purpose for the public bodies subject to that Act to improve the social, economic, environmental and cultural well-being of Wales.

#### 6. **Socio-economic duty**

Additionally, the ethos of the performance and governance provisions within the Act align to the **Socio-economic Duty, which will come into force on 31 March 2021**. This duty will require principal councils, when taking strategic decisions such as 'deciding priorities and setting objectives', to consider how their decisions might help to reduce the inequalities associated with socio-economic disadvantage.

### Implications for Business Planning 2022/23

We have a duty to keep performance under review Para 2.2 of Guidance

- exercising functions effectively
- using resources economically, efficiently and effectively
- governance is effective for securing the above

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## Office Use - Business Plan Guidance

### What's new for Business Planning for 2022/23?

- To address the requirements of the Local government and Elections (Wales) Act 2021 the templated has been strengthened in the parts concerning the self-assessment of the 2021/22 year.
- The template has been adjusted to prompt SMART action plans and stronger Performance Indicator coverage. This reflects the Scrutiny Committees and regulators feedback during the year, requesting that business plans should be clearer in identifying what success will look like.

### Business Plan Timetable

Draft <b>Departmental</b> Business Plan	<b>By 12 November 2021</b>
<b>First Draft Divisional</b> Business Plans 2022/23 deadline	<b>By 15<sup>th</sup> Dec 2021</b>
Chief Executive's and Panel Challenge of Departmental Plan	<b>November- December 2021</b>
Opportunity to revise plans following challenge	<b>First two weeks of January 2022</b>
<b>Departmental Plans</b> to accompany Budget to:- <ul style="list-style-type: none"><li>• Departmental Budget Seminars</li><li>• Budget Scrutiny's</li></ul>	<b>Late January - February 2022</b>
<b>Divisional Plans</b> to be worked up in more detail and presented to Scrutiny Committees	<b>TBC</b>

[①Scrutiny remit and business plans](#)

Eitem Rhif 9

**PWYLLGOR CRAFFU POLISI AC ADNODDAU**

**02/02/2022**

**CYNLLUN BUSNES ADRANNOL GWASANAETHAU CORFFORAETHOL  
2022-23**

**Y Pwrpas:**

Rhoi cyfle i'r aelodau adolygu cynllun busnes yr Adran ochr yn ochr â'r gyllideb

**Ystyried y materion canlynol a chyflwyno sylwadau arnynt:**

**CYNLLUN BUSNES ADRANNOL GWASANAETHAU CORFFORAETHOL 2021/2022**

**Y Rhesymau:**

- Integreiddio cynllunio ariannol a busnes.

**Angen cyfeirio'r mater at y Cabinet / Cyngor er mwyn gwneud penderfyniad:**

NAC OES

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

Cyng. David Jenkins	Polisi Cynllunio ,Rheoli Asedau Eiddo,Hyrwyddwr y Lluoedd Arfog,Canolfannau cyswll,Canolfannau Gwasanaethau Cwsmeriaid
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**Y Gyfarwyddiaeth:**

Chris Moore

**Enw Pennaeth y  
Gwasanaeth:**

Helen Pugh

Randal Hemingway

**Swyddi:**

Cyfarwyddwr y  
Gwasanaethau orfforaethol

Prif Weithredwr Cynorthwyol  
(Rheoli Pobl)

Cyfarwyddwr gwasanaethau  
ariannol

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**EXECUTIVE SUMMARY**  
**POLICY AND RESOURCES SCRUTINY COMMITTEE**  
**02/02/2022**

**Corporate Services Departmental Business Plan 2022/23**

**Purpose:**

To give members an opportunity to review the Department's business plan.

**1. BRIEF SUMMARY OF PURPOSE OF REPORT.**

The business plan outlines the priorities for the department during 2022 + and is supported by Divisional Plans.

**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 :

Chris Moore	Director of Corporate Services
Helen Pugh	Head of Revenues & Financial Compliance
Randal Hemingway	Head of Financial Services Executive

Policy, Crime & Disorder and Equalities	Legal	Finance	ICT	Risk Management Issues	Staffing Implications	Physical Assets
<b>YES</b>	<b>YES</b>	<b>YES</b>	<b>YES</b>	<b>YES</b>	<b>YES</b>	<b>YES</b>

**1. Policy, Crime & Disorder and Equalities**

- The Well-Being Future Generations Act (2015) requires that functions of the Council should maximise their contributions to the Well-Being objectives set by the Council.
- (Our Well-being Objectives maximise our contribution to the seven Well-being Goals of the Act and demonstrate the five ways of working.)

**2. Legal**

The Well-being Future Generations Act (2015) requires that functions of the council should maximise their contributions to the Well-being Objectives set by the Council. Our Well-being Objectives maximise our contribution to the seven national Goals of the Act and demonstrate the five ways of working.

**3. Finance**

The Well-being Future Generations Act (2015) requires that we ensure that resources are allocated annually to meet our objectives.



#### 4. ICT

The Digital Transformation Strategy sets out the Council's strategic digital priorities and aspirations and outlines what we plan to do to achieve our vision for a Digital Carmarthenshire

#### 5. Risk Management Issues

Key risks are identified for each department and mitigating actions are outlined.

#### 6. Staffing Implications

As identified within the plan.

#### 7. Physical Assets

As outlined in the business plan.

## 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  
Helen Pugh                        Head of Revenues & Financial Compliance  
Randal Hemingway              Head of Financial Services

1. Local Member(s) N/A

2. Community / Town Council N/A

3. Relevant Partners N/A

4. Staff Side Representatives and other Organisations N/A

CABINET PORTFOLIO HOLDER(S)  
AWARE/CONSULTED - YES

Include any observations here

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

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

THESE ARE DETAILED BELOW:

Title of Document	File Ref No.	Locations that the papers are available for public inspection
Corporate Strategy		<u>Corporate Strategy 2018-2023</u>
Well- Being of Future Generations (Wales) Act		<u>Well-being of Future Generations (Wales) Act 2015</u>

Mae'r dudalen hon yn wag yn fwriadol

Corporate Services Department  
Business Plan 2022 – 2025

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

January 2022

[carmarthenshire.gov.wales](http://carmarthenshire.gov.wales)

Cyngor **Sir Gâr**  
**Carmarthenshire**  
County Council



Tudalen 251


## The Sustainable Development Principle


The Well-being of Future Generations (Wales) Act 2015 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.’***


To show that we have applied the sustainable development principle we must demonstrate.....


## The 5 Ways of Working (see Appendix 1)

**Long term**  
 The importance of balancing short-term needs with the need to safeguard the ability to also meet long-term needs.

**Prevention**  
 How acting to prevent problems occurring or getting worse may help public bodies meet their objectives.

**Integration**  
 Considering how the public body's well-being objectives may impact upon each of the well-being goals, on their other objectives, or on the objectives of other public bodies.

**Collaboration**  
 Acting in collaboration with any other person (or different parts of the body itself) that could help the body to meet its well-being objectives.

**Involvement**  
 The importance of involving people with an interest in achieving the well-being goals, and ensuring that those people reflect the diversity of the area which the body serves.

## Contents

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## The Purpose of this Plan

This Departmental Business Plan sets the strategic objectives for the services within this Department. In turn, the strategic objectives translate into service objectives and individual staff targets. It provides an open and transparent way of showing staff, customers, elected members and stakeholders 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.

## Cabinet Member Foreword



I have great pleasure in introducing the Corporate Services Departmental Business Plan for 2022/23. I am satisfied that this Business Plan provides a comprehensive overview of the Departmental performance. It also provides the Department's aims and objectives for 2022/23.

**Sign Off** Cllr. David Jenkins

Date:

### Cabinet Members Responsible:

Resources

#### Description

Finance & Budget.

Corporate Efficiencies

Property / Asset Management.

Procurement.

Housing Benefits.

Revenues.

Statutory Services (Coroners, Registrars, Electoral, Lord Lieutenancy).

Armed Forces Champion

Contact Centre's and Customer Service Centre's

# 1. Departmental Overview

## Introduction by Director



The Directorate for Corporate Services supports all the Departments within the Authority and employs over 200 people with an overall of budget of nearly £31 million. The department is diverse and includes Accountancy, Treasury Management, Pensions Payroll, Pensions, Revenue Services including Council Tax, Housing Benefit and Debtors, Internal Audit, Corporate Procurement and Risk Management.

Carmarthenshire County Council is the statutorily administering authority for the Dyfed Pension Fund and we are the administrator for the unfunded Police and Fire pension schemes for Dyfed Powys Police Authority, Mid and West Wales Fire and Rescue Service and North Wales Fire and Rescue Service respectively. We manage the strategic direction and operation of the Dyfed Pension Fund Investments and Dyfed Welsh Church Fund, as well as the host authority function of the Wales Pension Partnership, together with Section 151 responsibility for Swansea Bay City Deal and the newly created Regional Corporate Joint Committee.

All services have been working hard and responded well during the Covid pandemic. We have adapted to new ways of working and have introduced new processes in a timely manner such as the introduction of electronic processing for both our banking transactions and treasury management practices, supporting local businesses via business grants and procuring of PPE, whilst managing both capital and revenue accounts and Welsh Government funding.

We have some strategic challenges:	This Departments role
<b>Economic Recovery</b>	The Procurement Division will continue to develop our approach to early engagement of Local Businesses. We will continue to provide a significant procurement & financial support and advice to the Swansea Bay City Region and Carmarthenshire Led Projects. The Accountancy Division will lead in the use of the Council's reserves to invest in the County and support future development.
<b>Climate Change</b>	Both Revenues and Financial Compliance Division and Financial Services Division contribute to Prosiect Zero Sir Gar.
<b>Tackling Poverty</b>	Our Revenues Division will continue to tackle poverty within Carmarthenshire by supporting families to claim all the financial support they are entitled to.

Recovery is now key post Covid and how we manage both the human and financial impact of pandemic long term. The new Local Government and Elections Act (Wales) 2021 has been implemented with changes to our existing Audit Committee structure, we have reflected on the recommendations of the CLES report and the Future Generations Commissioner for Wales Procuring Well Being Report and are developing an action plan. We are supporting the health and well-being of our staff and are helping our workforce to recover skill gaps by developing a workforce plan for our divisions in the new post Covid world. To achieve our key priorities, we will look to reshape our services, working with the new ways of working group and working alongside other departments playing our part corporately in the recovery of the whole Council.

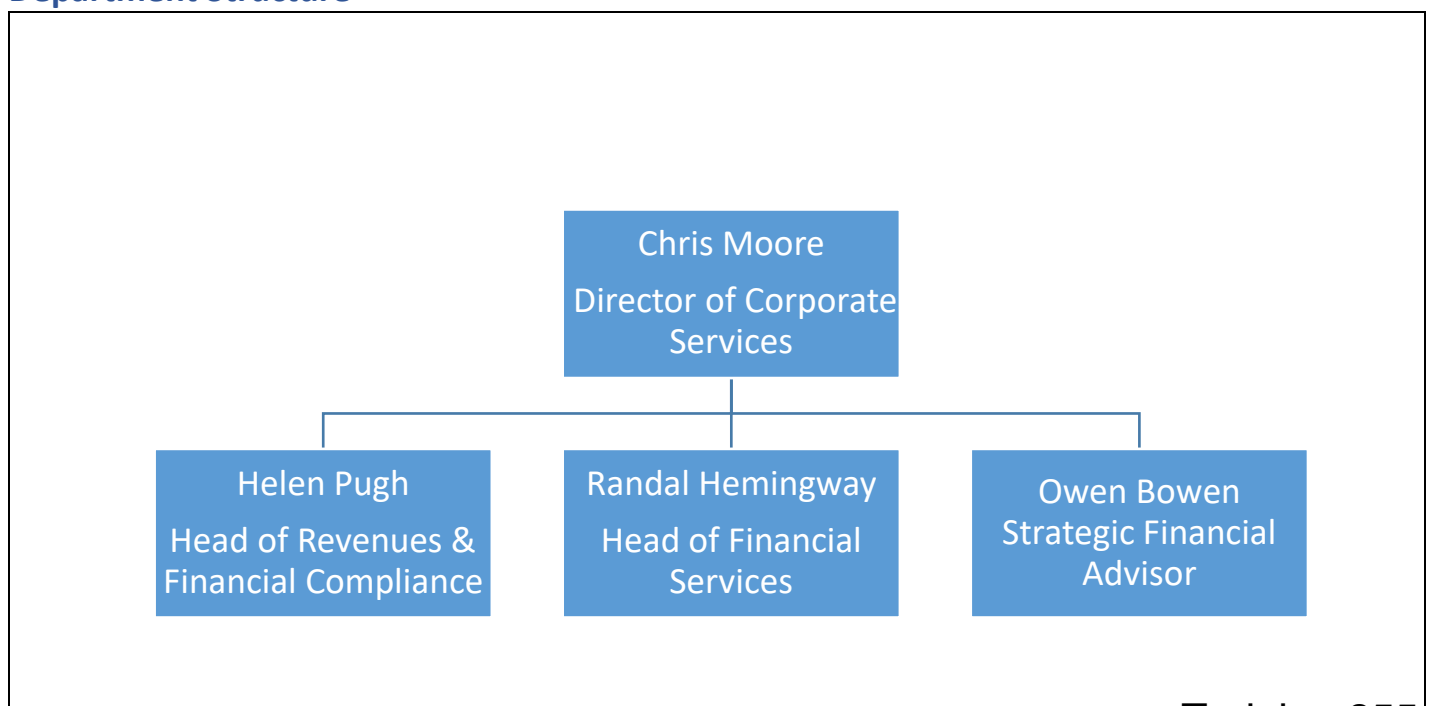
Additional challenges:	For this department
Workforce planning which should include helping our workforce recover, skill gaps (in new post Covid world) and planning for growth	We will build talent – attract, develop, and aim to retain a high calibre of staff.
Legacy cost (human and financial) of the pandemic and how you manage long term impact	We will fully support staff in their health and well-being and manage the long-term impact of Covid.
New approaches to service delivery and harnessing technology	We will fully engage with the corporate Better Ways of Working project to modernise our working practices and provide us with a framework that will meet the service delivery needs.
Collaboration – only where it works and proves to deliver	We will continue to collaborate with partners.

Our key priorities and actions as detailed in this plan have all been developed in line with the Future Generation principles of planning for the long-term, prevention, integration, collaboration, and involvement.

Our vision is strongly linked to the priorities of the Authority and summarises our central purpose of **‘Making Better Use of Resources’**.

***Chris Moore, Director of Corporate Services***

### Department Structure



## 2. Strategic Context

### 2.1 National Well-being Goals

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 are designed to maximise our contribution to the national shared vision goals (Appendix 1b).

### 2.2 Local Government and Elections (Wales) Act 2021.

The new duties of this Act apply to the self-assessment of 2021/22 – see **Appendix 2**

### 2.3 The Council's [Corporate Strategy 2018-23](#) (incorporating Our Well-being Objectives 2021/22)

Well- Being Objective	Randal Hemingway	Helen Pugh
<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. Support and improve progress, achievement, and outcomes for all learner		
<b>Live Well</b>		
4. Tackle poverty by doing all we can to prevent it, helping people into work and improving the lives of those living in poverty		✓
5. Create more jobs and growth throughout the county	✓	✓
6. Increase the availability of rented and affordable homes		
7. Help people live healthy lives (tackling risky behaviour and obesity)		
8. Support community cohesion, resilience & safety		
<b>Age Well</b>		
9. Support older people to age well and maintain dignity and independence in their later years		
<b>In a Healthy and Safe Environment</b>		
10. Look after the environment now and for the future		
11. Improve the highway and transport infrastructure and connectivity		
12. Promote Welsh Language and Culture	✓	✓
<b>In addition a Corporate Objective</b>		
13. Better Governance and Use of Resources	✓	✓

📌 See [How HOS join up to deliver Well-being Objectives](#) and [the steps of each WBO](#)



## 2.4 The PSBs Carmarthenshire Well-being Plan - The Carmarthenshire We Want (2018-23)

### ***How is the Department contributing to the Public Services Board (PSB) Well-being Plan?***

*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. The current Carmarthenshire Well-being Plan objectives are as noted below, and our departmental contributions are as follows:*

#### **Healthy Habits: people have a good quality of life, and make healthy choices about their lives and environment**

- We have supported our staff in their health and well-being. We have set up our Departmental Health and Well-being group and have undertaken a Health and Well-Being survey of staff. For 2022-23, we will review and learn from the results/outcomes of the survey and work with the well-being team on how to further support our staff.

#### **Early Intervention: to make sure that people have the right help at the right time as and when they need it**

- All line managers have attended a stress in the workplace course and are encouraged to attend the positive mental health in the workplace course.
- We have a number of Well-being Champions who will be working to encourage and motivate colleagues in Corporate Services to improve mental and physical health and well-being.
- We have continued to contribute to tackling poverty within Carmarthenshire by supporting families to claim all the financial support they are entitled to. We have been pro-active in identifying and ensuring that customers are claiming all the financial support they are entitled to.

#### **Strong Connections: strongly connected people, places and organisations that are able to adapt to change**

- All services have been working hard and responded well during the Covid pandemic. We have adapted to new ways of working and re-acted quickly by introducing new processes in a timely manner whilst working closely to support not only other Departments but other Local Authorities and other organisations such as the Public Services Board, the Health Board, and we have strong relationships with our stakeholders.
- We administer the Dyfed Pension Fund and provide payment solutions to a number of external clients.
- Wales Pension Partnership

#### **Prosperous People and Places: to maximise opportunities for people and places in both urban and rural parts of our county**

- Supplier engagement has continued with online meetings due to Covid-19 pandemic and we hold virtually a first point of contact and procurement link to local businesses.
- We now hold virtual Procurement Surgery Sessions and Webinars and are focusing on offering a programme of virtual meetings, sessions, workshops, and webinars to local suppliers.
- We will provide significant financial and procurement support and advice to the Swansea Bay City Region.

## 2.5 Department Specific Acts and Legislation

- ❖ 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, & subsequent amending regulations
- ❖ Discretionary Financial Assistance Regulations 2021 & subsequent amending regulations

## 2.6 Department Specific Strategies and Policies

Department Specific Strategy and Policy	Annual Report /Action Plan? (Add Link to it)
Revenue Budget Strategy	 Revenue Budget Strategy 2021 22 to :
5 Year Capital Programme	 5 Year Capital Programme (Council
Treasury Management Policy and Strategy	<a href="#">Treasury Management Policy &amp; Strategy</a>
Dyfed Pension Fund	<a href="http://www.dyfedpensionfund.org.uk">www.dyfedpensionfund.org.uk</a>
Funding Strategy Statement	<a href="#">Funding Strategy Statement</a>
Administration Strategy	<a href="#">Dyfed Pension Fund Administration Strategy</a>
Statement of Investment Principles	<a href="#">Dyfed Pension Fund Investment Principles</a>
Corporate and Service Risk Registers	Details attached in Section 3
Internal Audit Charter	 Internal Audit Charter 2021 - CYMR  Internal Audit Charter 2021.pdf
Audit Plan	<a href="#">IA Plan Governance &amp; Audit Committee July 2021</a>
Financial Procedure Rules	<a href="#">Financial Procedure Rules</a>
Anti-Fraud and Anti-corruption Strategy 2020-25	<a href="#">Anti Fraud &amp; Anti Corruption Strategy 2020-25</a>
Welsh Government Procurement Policy Statement	<a href="#">welsh Government Procurement Policy Statement</a>
Procurement Strategy 2018-22	<a href="#">Procurement Strategy 2018-22</a>
Corporate Procurement Rules	<a href="#">Contract Procedure Rules</a>
Risk Management Strategy 2018-22	 RM & CP STRATEGY 2018-22.pdf

## 2.7 Departmental Action Plan

Ref #	Key Actions and Measures	By When or EOY Target?	By Who?	Scrutiny	WBO Ref & Step
<b>1</b>	<b>Key Action</b>				
Key Action	We will contribute to the Prosiect Zero Sir Gar	March 2023	Chris Moore/ Helen Pugh/ Randal Hemingway	P&R	WBO10 -C
Key Milestones	<ul style="list-style-type: none"> <li>We will continue to work remotely wherever possible and where appropriate to do so thus supporting the better ways of working and our net carbon zero agenda.</li> <li>We work towards the Authority's Carbon Reduction Target for the Councils business mileage (NZC-12)</li> <li>We will work with departments and the National Procurement Service (NPS) to support greater procurement of energy from locally generated renewable energy projects (NZC-14)</li> <li>The Dyfed Pension Fund has an increasing level of investment in renewable and low carbon energy production via pooled funds and will continue to make such investments where the risk/return profile fits the pension funds investment strategy.</li> <li>The Dyfed Pension Fund invests in the BlackRock UK Strategic Alternative Income Fund where some of the core strategies are in the renewable energy sector and number of different sectors that have a direct impact on local communities including healthcare and social housing. The Pension Committee will also be considering an investment in other low carbon tracker funds.</li> <li>The Dyfed Pension Fund has a comprehensive Investment Strategy which is currently being reviewed.</li> </ul>	<p>March 2023</p> <p>March 2023</p> <p>March 2023</p> <p>March 2023</p> <p>March 2023</p> <p>March 2023</p>	<p>Chris Moore/ Helen Pugh/ Randal Hemingway</p> <p>Chris Moore/ Helen Pugh/ Randal Hemingway</p> <p>Chris Moore/ Helen Pugh</p> <p>Chris Moore/ Randal Hemingway</p> <p>Chris Moore/ Randal Hemingway</p> <p>Chris Moore/ Randal Hemingway</p>		<p>WBO10 -C</p> <p>WBO10 -C</p> <p>WBO10 -C</p> <p>WBO10 -C</p> <p>WBO10 -C</p> <p>WBO10 -C</p>
Key Measures	No measure this action will be monitored quarterly on PIMS	Quarterly monitoring	Chris Moore/ Helen Pugh/ Randal Hemingway		WBO10 -C

<b>2</b>	<b>Key Action</b>				
Key Action	We will fully support staff in their health and well-being and manage the long-term impact of covid	March 2023	Chris Moore/ Helen Pugh/ Randal Hemingway	P&R	WBO13 -B5
Key Milestones	<ul style="list-style-type: none"> <li>Learn from the feedback and address the outcomes of the health and well-being questionnaire</li> <li>prepare an action plan to support our staff post Covid-19</li> <li>Continue to support provide financial support for flu jab rollout.</li> <li>Identify resourcing implications of longer term covid impact</li> <li>Review divisional approach on flexible retirement.</li> <li>Identify and evaluate longer term financial pressures linked to Covid.</li> </ul>	May 2023  July 2023  March 2023  March 2023  March 2023  March 2023	Chris Moore/ Helen Pugh/ Randal Hemingway  Chris Moore/ Randal Hemingway Chris Moore/ Randal Hemingway Chris Moore/ Randal Hemingway Chris Moore/ Randal Hemingway		WBO13 -B5  WBO13 -B5  WBO13 -B5  WBO13 -B5  WBO13 -B5
Key Measures	No measure this action will be monitored quarterly on PIMS				
<b>3</b>	<b>Key Action</b>				
Key Action	We will build talent – attract, develop, and retain high calibre of staff.	March 2023	Chris Moore/ Helen Pugh		WBO13 -B5
Key Milestones	<ul style="list-style-type: none"> <li>Further develop our workforce plan.</li> <li>Working with Line Managers via staff appraisal and 121 meetings we will further investigate our training needs and requirements</li> <li>Promote the Corporate Services Learning and Development Policy.</li> </ul>	June 2022 July 2022 August 2022	Helen Pugh/ Randal Hemingway/ Line Managers		WBO03 -D  WBO13 -B5  WBO13 -B5
Key Measures	No measure this action will be monitored quarterly on PIMS				
<b>4</b>	<b>Key Action</b>				
Key Action	We will fully engage with the corporate Better Ways of Working approach and will continue engagement with the service to co-produce our plans for divisional implementation	March 2023	Chris Moore/ Helen Pugh/ Randal Hemingway		WBO13 -A
Key Milestones	<ul style="list-style-type: none"> <li>We will continue to address the actions from our Better Ways of Working Action Plan</li> <li>We will work continue to adapt new approaches to service delivery</li> <li>Investigate new ways of working smarter to drive efficiency</li> </ul>	March 2023 March 2023 March 2023	Chris Moore/ Helen Pugh/ Randal Hemingway		WBO13 -A WBO13 -A WBO13 -A
Key Measure	No measure this action will be monitored quarterly on PIMS				

## 3. Summary Divisional Plans

The following Summary Divisional Plans are included:

- + Revenues and Financial Compliance Division
- + Financial Services Division

## Divisional Profile



Revenues & financial compliance includes 5 distinct areas:

**Revenue Services** – responsible for the administration, billing and recovery of Council Tax and Non-Domestic Rates. This 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, 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.

**Internal Audit** – Internal Audit provides an ongoing review of the Authority's 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, equality, employment, workforce, environmental and sustainability considerations in line with the Welsh Government's Wales Procurement Policy Statement.

**Business Development** – promotes and supports a culture of performance management and provides business support to Corporate Services.

## Self-assessment of performance in 2021/22

**Revenue Services** - We have continued to contribute to tackling poverty within Carmarthenshire by supporting families to claim all the financial support they are entitled to. We have been pro-active in identifying and ensuring that customers are claiming all the financial support they are entitled to. We are active members of the Welsh Government Regional Advice Network, and through processing self-isolation payments are also able to identify when people should be claiming other benefits. Our recovery team and Enforcement agents have identified those who are vulnerable, and they have provided the necessary advice and referrals.

We have been working closely with other sections to ensure this in addition to having a pro-active approach to Discretionary housing payments and have worked closely with the Housing team, a support organisation named Walich, and other Housing Associations.

We have worked closely with the Hwb teams giving them the technical advice they need for their role in dealing with customers face to face.

The Non-Domestic Rates Team have administered four grants on behalf of Welsh Government, ensuring that £78M has been distributed to the Carmarthenshire business community to support businesses during the challenges of COVID-19.

The Sundry Debtors team have processed rent concessions for the Authority's' business tenants to reduce the financial burden suffered due to Covid-19.

Since October 2020 we have received over 6200 applications and paid out £2.5 million in Self-Isolation Support Payments.

Since November 2021 we are administering the Winter Fuel Support Scheme. Over the last 8 weeks over 4000 applications have been received and have paid out £277,000. We could potentially have over 9500 applications by the time the scheme comes to an end on the 18<sup>th</sup> February 2022.

Resources for both schemes have had to come from within the department, so this has put extra pressure on the teams particularly since November 21 due to the tight deadlines.

We are currently supporting the Emergency non-domestic rate grant scheme and discretionary scheme to the value of £7.7 million to support businesses with their immediate cash flow and survive economic consequences of additional restrictions.

We have also administered and collected for both 'Ymlaen Llanelli' and 'Carmarthen' Business Improvement Districts levy in respect of ratepayers in the Llanelli Town and Carmarthen Town BID area.

**Internal Audit** – Progress against the Internal Audit Plan is continuously monitored, with quarterly positions recorded on PIMS and presented to the Governance and Audit Committee.

The Public Sector Internal Audit Standard (PSIAS) specify a requirement for an external quality assessment of all internal audit services to be conducted at least once every five years by a qualified, independent reviewer from outside of the organisation. The external quality assessment, which was completed in March 2018, concluded that the Internal Audit Service is conforming to the standards. A total of six recommendations were made as part of the external assessment; actions to address five of these recommendations have been completed, with the final recommendation related to the consideration of using an alternative assessment template when the next external assessment is undertaken; this recommendation will be addressed at the time of that assessment, which is required to be undertaken by March 2022.

Internal Audit continues to undertake quality assurance reviews as required by PSIAS and has in place a Quality Assurance and Improvement Programme (QAIP). A QAIP is an ongoing programme intended to increase the quality and value of Internal Audit services. Elements detailed within the QAIP include our approach to reviews, the supervision of assignments, peer reviews and the policies and procedures followed to ensure an efficient and effective internal audit service.

Since the outbreak of Covid-19 and the subsequent lockdown, Internal Audit working practices have had to be amended, with all staff working from home. Traditional auditing methods through face-to-face visits have not been possible, with audits now conducted remotely through electronic means of Teams meetings, screen sharing, sharing documents electronically etc. Whilst this has been challenging at times, the team has embraced this way of working and, on the whole, it has worked extremely well.

Internal Audit led the review of the Authority's Financial Procedure Rules, which were approved in 2020; a further review is currently being undertaken to ensure the information contained within the rules is up to date and accurate. The Financial Procedure Rules for Schools are also currently under review, with Internal Audit leading on this.

**Risk Management** – We have continued to address the recommendations or proposals for improvement arising from the Audit Wales review of Risk Management arrangements. The draft Risk Management Toolkit is scheduled for approval at the next Risk Management Steering Group Meeting of the 11th November 2021.

A training programme/workshop provided by the Authority's Insurers is scheduled to take place from September 2021 onwards commencing with a workshop to CMT, Heads of Service and Cabinet Members to understand risk and to establish what is our risk appetite. A risk workshop to key officers on understanding risk, defining risk monitoring, understand roles, processes to follow and system to use is scheduled and the Governance and Audit Committee members will also be attending a risk awareness session in November. A risk management E-learning module is also being developed.

Work has continued to further align our processes of identifying risks and linking to performance management, through further integration and sharing of information between risk and performance. Dedicated CMT meetings are now scheduled every 2 months on performance management and links between Risk Registers and Business Planning are further advanced. This is also reported to half yearly to the Governance and Audit Committee.

The Risk Management System (JCAD CORE) upgrade is complete, and Risk Management Officers have met with the software providers and another Local Authority user to share best practices to maximise the use of the Risk Management System

**Corporate Procurement** – We have continued to support the departments to deliver compliant tender exercises through a Category Management Approach.

We have advanced our work on our progressive procurement action plan following on from the work with the Centre for Local Enterprises (CLEs). Progressive procurement Cluster meetings have been held regularly between Procurement, Policy and Economic Development to deliver the actions in the CLES Progressive Procurement Report. Additional sub-groups have been set up, one to develop a Social Value Policy and another on on-going Business Engagement Opportunities.

We have worked with colleagues in Economic Development providing information on forthcoming tenders. The intention of this early engagement is to target SMEs in the County to inform them in advance of these tendering opportunities which they might be interested in tendering for and the support available to bid. This engagement will also inform the Council of any potential barriers there maybe for suppliers to tender which we could factor into our lotting strategy and overall procurement approach.

We continue to address the key findings, highlighting good practice and recommendations from the 'Procuring well-being in Wales' report (published 25/02/2021) from the Office of Future Generations Commissioner for Wales. We have amended our Sustainable Risk Assessment (SRA) template which ensures that the sustainability issues such as environmental, social, economic & cultural issues can be factored into the specification for individual tenders to incorporate elements of the Well Being of Future Generations Act by providing relevant information linking to the WBFG Objectives. We also include service provision information relating to the 5 ways of working i.e., Long Term, Prevention, Integration, Collaboration & Involvement. We have produced an Ethical Employment in Supply Chains Policy and drafted the Council's first annual written statement on the steps taking during the financial year to ensure that slavery and human trafficking are not taking place in our organisation and our supply chains. We have developed guidance to support officers on incorporating Contract Management following tender award, we are working with Learning and development to develop a supporting eLearning Module and more in-depth online course

We have continued to support the early engagement of Local Businesses and have due regard to the effect of our procurement on the local economy especially during and the recovery from the Covid-19 pandemic. We have continued with supplier engagement via online meetings and our suppliers have been very receptive to this change. We have worked closely with Business Wales to adapt our processes for Tender support and engagement, and this has ensured a coordinated approach. Suppliers are met virtually on a "first point of contact & procurement link to local business" basis which provides procurement advice and guidance on promoting their goods and services to Carmarthenshire County Council. The transition from a "meet & greet" type session to a "virtual" meeting is now showing signs of becoming a popular and effective means of meeting with suppliers and providers. Due to Covid-19 we have adapted our ways of working and have organised Virtual Procurement Surgery Sessions and Webinars to replace and further enhance procurement support available. We have offered further procurement support to suppliers and providers and have worked in conjunction with Business Wales to organise "Live Tender Workshops". The aim of the Workshops initiative managed by CCC Procurement and delivered by Business Wales Tender Advisers is to pro-actively engage with suppliers



who require this level of assistance with submitting their tenders via the electronic tender portal, Bravo. For purchases below £25,000 that are not covered by existing corporate contracts or frameworks, officers are requested to 'Think Carmarthenshire First' when seeking quotations for the purchase of Goods/Services to explore the marketplace to establish if there are any businesses within Carmarthenshire that can provide the goods and services to support economic recovery of the county and local supply development.







We have supported the Authority's Sustainable Development Manager in public sector net zero reporting through Procurement spend via our Spend Analysis Tool, Atamis. We have also responded to the Local Government Decarbonisation Strategy Panel's proposed actions and commitments for Procurement are intended to help local authorities meet the procurement goals outlined in the Wales Procurement Policy Statement and reduce carbon emitted through public procurement. We will work with departments on future contracts for goods, services and works on reducing carbon emissions.

**Business Development** – Re-alignment of duties and roles within the Business Development Team has taken place to provide a more cohesive and responsive service to support both the Department as a whole and for completion of administration support to the whole Authority such as processing credit card payments and collation of Authorised Signatories.

With the introduction of the Performance Management Framework which sets out the Councils approach to monitoring and managing the performance of the Councils services, we have continued to provide timely management information reflecting the requirements of the Well-Being of Future Generations Act to team managers, Senior Management Team and to our Departmental Management Team and meetings specifically on performance management have been introduced to monitor and analyse the quarterly results.

Co-ordination of Better Ways of Working requirements for Corporate Services, learning from the impact of the Covid-19 pandemic and the future working requirements continue to be key, working with line managers and senior officers within Corporate Services and involvement on the Better Ways of Working project groups such as the BWoW Storage Review Working Group to share knowledge and to learn from others.

 [Links to sources of evidence \(Regulatory Reports, Member T&F, etc.\)](#)

-  [PFI Follow Up - Risk Management - CCC include Proposals for Improvement](#)
-  [The Local Government and Elections \(Wales\) Act 2021 \(Consequential Amendments\) Regulations 2021](#)
-  [public-sector-internal-audit-standards](#)
-  [self-isolation-support-scheme](#)
-  ['Raising Our Game' - Tackling Fraud in Wales | Audit Wales](#)
-  [Procuring well-being in Wales'](#)

## Key Areas for Improvement arising from Self-assessment

**Revenues** – Half yearly performance for average time for processing Housing/Council Tax Benefit notifications of changes of circumstances was just off target at 0.04 of a day (6.6.1.3). The target was considerably reduced from 7 days in 20/21 to 4 days for 21/22. However, the benefits team have also had to take on additional work in the delivery of self-isolation support payments. The last 3 months have seen the volume of applications increase considerably and additional benefit processing staff have been redeployed to comply with the commitment made to Welsh Government to process payments quickly to allow individuals to self-isolate without the worry of getting into financial difficulties. Additional support has been secured to process the self-isolation support payments from 18th October which will release the benefit processing staff allowing them to return to their normal benefit processing work.

**Internal Audit** – Actual achievement against the Annual Audit Plan continues to progress well; whilst slightly off target (Quarter 2 result 32% against the target set of 35%), quality audits are continuing to be produced. Additional grant audits have been undertaken over the summer period, which have influenced the audit plan. A new staff member commenced in September to fill a post which has been vacant, due to a Secondment, for several months.

In order to improve service delivery, new Performance Indicators have been introduced this year, which will enable us to measure and monitor performance and assist to drive and improve the efficiency of the team.

In 2019/20, Audit Wales undertook a national review exercise considering Fraud Arrangements across Wales; 'Raising Our Game - Tackling Fraud in Wales'. The Report identified 15 recommendations for improvement; whilst all 15 recommendations did not apply to Carmarthenshire County Council, 9 of them were relevant, with actions to address 8 of those now complete. Action to address the final recommendation is in progress, with a fraud e-learning module currently being explored and face-to-face training hopefully able to recommence soon following its postponement due to the Covid-19 pandemic.

**Risk Management** - An Internal Audit Review of Risk Management arrangements has been completed with the draft report issued and a TIC review of Risk Management arrangements is due to commence 1st November 2021. We will be able to learn from the outcome of these and prepare an action plan going forward to 2022/23 based on the findings. We will continue to deliver the Audit Wales Recommendations with specific Risk Appetite workshops scheduled for the forthcoming year and working across the organisation to deliver on the recommendations.

**Corporate Procurement** - We continue to monitor and report procurement cost increases incurred by the departments although so far to date there have not been any reported. This is due to contracts/frameworks that were awarded did not report any cost increases or efficiencies, either due to them being one call offs, so nothing to compare to, or frameworks, which means there are no projected volumes as the volumes are unknown. The Senior Procurement Officer contacts the Category Managers and there were no procurement cost increases to report so far this year.

**Business Development** – Awaiting the outcomes and recommendations of the TIC electronic Signatory report which will influence administrative processes such as the Authorised Signatories for the Authority and the Credit Card process.

## Key Divisional Risks

Risk Ref or New?	Risk score after mitigation	<b>Identified Risk</b> All risks can be profiled in the Divisional Plan. In this departmental plan the Division should identify: 1. Any Risks that it has on the <b>Corporate Risk Register</b> 2. <b>Significant Risks</b> (scored 16+) 3. <b>For Service High Risk</b> (scored 12+), see <b>Divisional Plan</b>	Divisional Summary Action Plan Ref No.
CRR190007	Medium (8)	Ensuring effective management of Procurement / Contract Management and Partnership arrangements.	D4
CRR190012	Medium (8)	Failure to adhere to an effective Corporate Governance Framework	B2
CRR190027	High (15)	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 Audit Wales)	B1
CRR190031	High (12)	Failure to comply with the requirements of the Local Government and Elections (Wales) Act	B2
CRR190043	High (15)	COVID19 - Strategic Financial Implications - loss of income	E1/Key measures CFH/007 & CFH/008
New Corporate Risk	Significant (20)	Effect of COVID-19 & Brexit on recruiting and impact of workforce planning	A3
CSV330003	High (15)	Additional Council Tax Reduction Scheme Workload due to the extra verification work for the increasing number of customers in receipt of Universal Credit	D1
CSV330005	Significant (25)	Potential pressure on the Discretionary Housing Payment Funding provided by Department of Works and Pensions	D1
CSV340002	Significant (25)	Insufficient resources (within the unit or elsewhere) to progress identified service improvements and system changes: Agresso/Debtors System	D1/Key milestone 2& Further detail in Divisional BP
CSV340003	Significant (20)	Insufficient resources (within the unit or elsewhere) to progress identified service improvements and system changes: Northgate Server/Revenues and Benefits System	D1 & Further details in Divisional BP

## 5 Ways of Working

<b>1. Long Term</b>	<i>The importance of balancing short-term needs with the need to safeguard the ability to also meet <b>long term</b> needs</i>
<i>How good are we at this?</i>	<b>Partial</b>
Self-Assessment Review:	<p>As a department we are open to new ways of working which will benefit our services we provide to our customers for the long term.</p> <p>Succession Planning – Resources should be allocated to ensure long term as well as short term benefits are delivered.</p> <p>Our Corporate /Strategic Risks are long term, we also Business Continuity Plans. We have our Contingency Planning Working Group, Risk Management Steering Group, Property and Liability Risks Working Group and Transport Risk Working Group where we plan for the future.</p>
Planned Improvement for 22/23 - we will:	<p>To continue with the Better Ways of Working commitment and forward thinking for the long term of Corporate Services and for the Authority.</p> <p>We will build talent to attract, develop and retain a high calibre of staff.</p> <p>Our Risk System (JCAD Core) upgrade is complete, and access provided to all users. Risk Management Officers have met with JCAD and another Local Authority using the same system to learn from their experiences to maximise the effectiveness of the upgraded system.</p>
<b>2. Prevention</b>	<i>How acting to <b>prevent</b> problems occurring or getting worse may help public bodies meet their objectives</i>
<i>How good are we at this?</i>	<b>Strong</b>
Self-Assessment Review:	<p>The teams in the Revenue Services Unit are pro-active in identifying and ensuring that customers they deal with are claiming all the financial support they are entitled to. The Housing Benefit Award Accuracy (HBAA) Initiative was launched by Department of Works and Pensions in October 2020 and Carmarthenshire County Council opted into this project from the outset despite the COVID-19 pandemic. As part of this initiative, we are required to undertake a set number of Full Case Reviews (FCRs) to ensure we are paying the right amount of Housing Benefit, at the right time, to the right person and identify cases where a change of circumstance may have occurred. This in turn will reduce the risk of an overpayment from occurring. The HBAA Indicator, along with published Speed of Processing data, is a key source of information on the effective delivery of Housing Benefits.</p> <p>We process Self Isolation Support Payments on behalf of Welsh Government and as part of this process we are required to carry out a 10% check on approved cases and invoice anyone who is deemed not to have received a loss of earnings. We continue to investigate and identify root causes of problems as part of our Internal Audit process.</p> <p>Resilience of business – ensure frameworks have reserves and carry out credit checks. There are accountability arrangements in place; we are pro-active rather than re-active and we also have political support of our Executive Cabinet Member Cllr David Jenkins. We have held virtual supplier engagement events and work with our suppliers.</p> <p>We have in place a Risk Management fund which looks at preventative measures to prevent future losses.</p>
Planned Improvement for 22/23 - we will: (link to action plan)	<p>We will work with Transform, Innovate and Change team to review existing recovery procedures which was delayed due to Covid-19 pandemic.</p> <p>Internal Audits planned for 2022/23 will continue to consider the root cause of problems.</p>

	To utilise JCAD Core as a tool for analysing data as a preventative measurement tool now the upgrade to the system is complete.
<b>3. Integration</b>	<i>Considering how well-being objectives may <b>impact</b> upon each of the well-being goals, on their other objectives, or on the objectives of other public bodies</i>
<i>How good are we at this?</i>	<b>Strong</b>
Self-Assessment Review:	<p>There is a culture of openness and sharing of information. For example, we are part of the Welsh Chief Auditors Group sharing of information with other Internal Audit teams in Local Authorities across Wales, with regular reporting to Governance and Audit Committee. We are joint working with the Department of Works and Pensions fraud investigation service.</p> <p>We have strong links working with our Public Sector Partners developing regional projects. We have developed the Carmarthenshire Well Being Plan: the Carmarthenshire we want 2018-23 as part of the Public Services Board. We provide significant procurement support and advice to the Swansea Bay City Region Carmarthenshire led projects. The Tender to appoint a Principal Contractor for Pentre Awel Zone 1 was awarded at the end of Quarter 1 via Lot 6 of the Southwest Wales Regional Contractors Framework to Bouygues. The project is valued in the region of £66 million and is the largest construction procurement delivered in Carmarthenshire.</p> <p>Risk Management integrates with all, working closely with Insurance companies and Authority wide. We share information within the confines of GDPR, for example claim statistics, member of ALARM (Association of Local Authority Risk Managers), we integrate with Marsh our Brokers, with housing associations and Local Authority Networking.</p>
Planned Improvement for 22/23 - we will:	<p>Continue to use an integrated approach in the benefit fraud function.</p> <p>The sharing of information will continue with other Audit teams across Wales, with further opportunities for collaboration and information-sharing to be promoted.</p> <p>To continue to provide significant procurement support and advice to the Swansea Bay City Deal.</p>
<b>4. Collaboration</b>	<i>Acting in <b>collaboration</b> with any other person (or different parts of the body itself) that could help the body meet its well-being objectives</i>
<i>How good are we at this?</i>	<b>Strong</b>
Self-Assessment Review:	<p>We are working with the Welsh Government in administering the self-isolation payments and worked with them to administer the Business Grant Payments. Sundry Debtors are working with Llesiant Delta Wellbeing to manage the financial and billing operations for service users.</p> <p>We undertake audit assignments for Mid and West Wales Fire Authority, as well as Delta Llesiant Wellbeing.</p> <p>We are working collaboratively with the Public Services Board and Carmarthenshire has been appointed to map food producers as part of the food public services board group. We are also a regional lead on construction and engineering consultancy.</p> <p>We provide information to insurers and work with all of the Authority's Insurers and Brokers and would not be able to manage our Business without working collaboratively.</p>
Planned Improvement for 22/23 - we will:	We will continue to work with the external Organisations that we do at present as well as to explore opportunities for further collaboration and be proactive to find shared sustainable solutions.

	To learn and share best practice with other procurement public sector bodies. To link in with Property Database, we take on board Insurer's recommendations although we could take this a step further
<b>5. Involvement</b>	<i>Importance of <b>involving</b> people with an interest in achieving the well-being goals, and ensuring that those people reflect the diversity of the area</i>
<i>How good are we at this?</i>	<b>Partial</b>
Self-Assessment Review:	<p>We have a strong working relationship with our clients and stakeholders. The Principal Auditor regularly attends strategic meetings within the Authority, such as Departmental Management Team (DMT) meetings and Senior Management Team (SMT) meetings. The Internal Audit team welcomes interaction from/with stakeholders, with the Audit team being pleased to offer advice/guidance where required.</p> <p>Due to Covid-19 and the restrictions placed on Supplier Engagement, we have adapted our ways of working and have held virtual procurement surgery sessions and webinars to further enhance procurement support available.</p> <p>We involve Governance and Audit Committee, CMT, Drivers of Vehicles and all stakeholders. We notify departments when claims are settled and feedback the reasons and we look at ways of improving our services and relationships with our stakeholders.</p>
Planned Improvement for 22/23 - we will:	<p>The Principal Auditor will continue to liaise with Heads of Service and Senior Managers in order to assist with achieving an effective Internal Audit service; this involvement will also include collaboration with relevant officers when compiling the Internal Audit Plan. The Internal Audit team will continue to embrace the role of a critical friend to Audit Clients and stakeholders</p> <p>To ask for feedback from our virtual engagement events and procurement surgery sessions, working with colleagues in economic development we will focus our business support to enable sectors can meet our demands.</p> <p>We continue to address the proposals of improvement arising from the Audit Wales review of risk management arrangements.</p>

## Revenues & Financial Compliance Divisional Summary Action Plan

Ref #	Key Actions and Measures	By When or EOY Target?	By Who? Responsible Officer	Scrutiny	WBO Ref & Step
<b>A</b>	<b>Internal Audit</b>				
<b>1</b>	<b>Key Action</b>				
	We will promote the updated Financial Procedure Rules, the Antifraud and Anti-corruption strategy and any other specific strategies/policies or regulatory recommendations	March 2023	Chris Moore/ Helen Pugh/ Caroline Powell	P&R	WBO13-B1
<b>2</b>	<b>Key Action</b>				
	Implement the changes to our Audit Committee structure in line with the new Local Government and Elections Act (Wales) 2021. Whilst some changes have taken place during 2021, further changes are due to be implemented and take effect in 2022.		Chris Moore/ Helen Pugh/ Caroline Powell	P&R	WBO13-B7
Key Milestones	Further changes will come into force on the 5 <sup>th</sup> May 2022 which will require one third of the members of the Governance and Audit Committee to be lay persons and for the lay person to be appointed as Committee Chair.	May 2022	Chris Moore/ Helen Pugh/ Caroline Powell		WBO13-B7
Key Measure	No measure this action will be monitored quarterly on PIMS				
<b>3</b>	<b>Key Action</b>				
	Investigate ways of working smarter to drive efficiency of the Internal Audit Service	March 2023	Chris Moore/ Helen Pugh/ Caroline Powell		WBO01-3-A
Key Milestones	Report to Governance and Audit Committee.	Quarterly	Chris Moore/ Helen Pugh/ Caroline Powell		WBO01-3-A
Key measure	Actual achievement against Annual Audit Plan (6.4.1.13)	Quarterly Monitoring			WBO01-3-A
	Percentage of Draft Reports issued within 10 working days of the fieldwork completion date (new PI)	Quarterly Monitoring	Chris Moore/ Helen Pugh/ Caroline Powell		WBO01-3-A
	Percentage of Management Responses received within 15 working days of the Draft Report being issued (New PI)	Quarterly Monitoring	Chris Moore/ Helen Pugh/ Caroline Powell		WBO01-3-A
	Percentage of Final Reports issued within 10 working days of Management Responses being received (New PI)	Quarterly Monitoring			WBO01-3-A





			Helen Pugh/Julie Standeven		
Key Milestones	We will work regularly meet with our Insurance Brokers				WBO13-B6
Key Measures	<p>% 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 (6.4.2.3)</p> <p>% of motor vehicle incidents reported to Risk Management within 5 working days. (New PI)</p> <p>% of departmental reports returned to Risk Management within 15 days from request (New PI)</p> <p>% of motor claims reports provided by risk management within 10 working days (New PI)</p> <p>% of liability claims reports provided by risk management to insurers within 20 working days(New PI)</p>	Monitored Quarterly	Chris Moore/ Helen Pugh/Julie Standeven		<p>WBO13-B6</p> <p>WBO13-B6</p> <p>WBO13-B6</p> <p>WBO13-B6</p> <p>WBO13-B6</p>
<b>C</b>	<b>Corporate Procurement</b>				
<b>1</b>	<b>Key Action</b>				
Key Action	We will work with departments to deliver compliant tender exercises through the implementation of a category management approach.	March 2023	Chris Moore/ Helen Pugh/ Clare Jones	P&R	WBO13-B3
Key Milestones	<ul style="list-style-type: none"> <li>We will work with departments to deliver the forward work programme.</li> <li>We will monitor the requests received for Procurement support</li> <li>We will develop appropriate lotting strategies, taking into account the progressive procurement agenda (for example, consider small lot exemptions).</li> <li>We will investigate opportunities for joint procurement with other public sector organisations</li> </ul>	Tender dependent	Chris Moore/ Helen Pugh/ Clare Jones		<p>WBO13-B3</p> <p>WBO13-B3</p> <p>WBO13-B7</p> <p>WBO13-A</p>
Key Measure	Will monitor the % of Procurement spend compliant with our Contract Procedure Rules (new PI)	Quarterly monitoring	Chris Moore/ Helen Pugh/ Clare Jones		
<b>2</b>	<b>Key Action</b>				
Key Action	We will continue to provide a significant procurement support and advice to the Swansea Bay City Region Carmarthenshire led projects	March 2023	Chris Moore/ Helen Pugh/ Gemma Clutterbuck	P&R	WBO5-A
Key milestones	In line with Pentre Awel Zone 3 and City Deal Digital Programme timeframes	Driven by City Deal timescales	Chris Moore/ Helen Pugh/		WBO5-A

			Gemma Clutterbuck		
Key Measures	No measure this action will be monitored quarterly on PIMS				
<b>3</b>	<b>Key Action</b>				
Key action	We will continue to develop our approach to early engagement of Local Businesses	March 2023	Chris Moore/ Helen Pugh/ Clare Jones	P&R	WBO5-D
Key milestones	<ul style="list-style-type: none"> <li>We will continue to work with our regeneration and economic development colleagues to deliver the progressive procurement actions on supplier engagement.</li> <li>We will keep our longer-term forward work programme up to date and publish on our website.</li> <li>We will promote our published Procurement Supplier guide.</li> <li>We will record the number of supplier contacts made via procurement (including via Procurement first point of contact meetings, pre-market engagement sessions and tender briefing sessions).</li> <li>We will engage with suppliers through a variety of means depending on the tendering requirement and our understanding of the marketplace (For example Prior Information Notice, notices, questionnaires, snap surveys, bespoke engagement events etc).</li> </ul>	Continual  Updated Quarterly  March 2021  Quarterly monitoring  Tender dependent	Chris Moore/ Helen Pugh/ Clare Jones		WBO5-D  WBO13-B2  WBO13-B2  WBO5-D  WBO5-D
Key Measures	We will monitor the percentage of spend with local suppliers. (New PI)	Quarterly monitoring	Chris Moore/ Helen Pugh/ Clare Jones	P&R	WBO5-D
<b>4</b>	<b>Key Action</b>				
Key action	We will monitor effective Contract management throughout the Authority	March 2023	Chris Moore/ Helen Pugh/ Clare Jones	P&R	WBO13-B6
Key Milestones	<ul style="list-style-type: none"> <li>We will monitor the basic awareness eLearning contract management module take up.</li> <li>We will develop an interactive contract management training course with Learning and Development.</li> <li>We will explore the potential of a central contract management system linked to our contract register.</li> </ul>	Quarterly monitoring  June 2022  March 2023	Chris Moore/ Helen Pugh/ Clare Jones		WBO13-B6 WBO13-B5  WBO13-B2
Key Measures	No measures this action will be monitored quarterly on PIMS				

<b>5</b>	<b>Key Action</b>				
Key action	We will pursue the use of Community Benefits in all procurements where such benefit can be realised.	March 2023	Chris Moore/ Helen Pugh/ Clare Jones	P&R	WBO13-B3
Key Milestones	We will review our approach for including Community Benefits for non-construction projects	March 2023	Chris Moore/ Helen Pugh/ Clare Jones		WBO13-B3
Key Measures	We will report the activities delivered through Community Benefits in our Construction projects (21st Century School Programme, Housing and Regeneration projects). <ol style="list-style-type: none"> <li>1. Number of Persons weeks of training and recruitment (CP1)</li> <li>2. Number of Jobs created and Number of STEM (Science, Technology, Engineering and Mathematics) (New PI)</li> </ol>	Quarterly monitoring	Chris Moore/ Helen Pugh/ Clare Jones		WBO13-B3
<b>6</b>	<b>Key Action</b>				
	We will continue to develop our approach to spend analysis.	March 2023	Chris Moore/ Helen Pugh/ Clare Jones	P&R	WBO13-B6
Key Milestones	<ul style="list-style-type: none"> <li>• We will ensure spend analysis is used strategically and routinely considered at senior leadership and Cabinet level.</li> <li>• We will explore each contract which constitutes leakage, to determine its potential for localisation.</li> <li>• We will undertake a supplier re-spend analysis to inform future interventions and support.</li> </ul>	<p>March 2023</p> <p>March 2023</p> <p>March 2023</p>	Chris Moore/ Helen Pugh/ Clare Jones		<p>WBO13-B6</p> <p>WBO13-B6</p> <p>WBO13-B6</p>
Key Measures	No measures this action will be monitored quarterly on PIMS				
<b>7</b>	<b>Key Action</b>				
	We will embed Net Zero Carbon into our procurement activity.	March 2023	Chris Moore/ Helen Pugh/ Clare Jones		WBO10-C
Key milestones	<ul style="list-style-type: none"> <li>• We will review Council procurement policies.</li> <li>• We will identify opportunities for carbon savings through our tendering activity</li> </ul>	March 2023	Chris Moore/ Helen Pugh/ Clare Jones		<p>WBO10-C</p> <p>WBO10-C</p>
Key measures	No measures this action will be monitored quarterly on PIMS				

<b>D</b>		<b>Revenue Services</b>			
<b>1</b>		<b>Key Action</b>			
Key Action	We will contribute to tackling poverty within Carmarthenshire by supporting families to claim all the financial support they are entitled to. (Action ID 15056)	March 2023	Chris Moore/ Helen Pugh/ Ann Thomas	P&R	WBO4-D
Key Milestones	<p>Welsh Government have issued a toolkit which provides a resource to consider what can be done to work towards having a more simplified application system for devolved welfare benefits (council tax reduction, Free school meals and school uniform grant) to make them more accessible to people in need of support.</p> <ul style="list-style-type: none"> <li>We will work with the Education Department to have a consistent approach to what is included on the website and have a pro-active approach to raise awareness</li> <li>We will explore the purchasing and implementation of Northgate Citizen Access Benefits system.</li> <li>We will work to provide a customer focused service and provide technical advice to customers over the telephone and will work closely with the HWB team giving them the technical advice they need for their role in dealing with customers face to face.</li> </ul>	March 2023	Chris Moore/ Helen Pugh/ Ann Thomas	P&R	WBO4-D
Key measures	<ul style="list-style-type: none"> <li>Average number of days taken to process new Housing/ Council Tax Benefit claims. (6.6.1.2)</li> <li>Average number of days taken to process notifications of changes of circumstances in Housing/Council Tax Benefit claims. (6.6.1.3)</li> <li>% of recently calculated Housing/Council Tax Benefit claims that have been calculated accurately based on a sample check. (6.6.1.9)</li> <li>% of council tax due for the financial year which was received by the authority. (CFH/007)</li> <li>% of non-domestic rates due for the financial year which were received by the authority. (CFH/008)</li> </ul>	Quarterly Monitoring	Chris Moore/ Helen Pugh/ Ann Thomas	P&R	WBO4-D WBO4-D WBO4-D WBO13-B6 WBO13-B6
<b>E</b>		<b>Business Development Business Unit</b>			
<b>1</b>		<b>Key Action</b>			
Key Action	We will make the best use of our resources to improve services to both the public and for Corporate Services	March 2023	Chris Moore/ Helen Pugh/ Tracey Thomas		WBO13-B4
Key Milestones	<ul style="list-style-type: none"> <li>We will assist Transform, Innovation and Change team with specific efficiency projects. For example, the Electronic Signatures and the Better Ways of Working Storage Review and embed the findings/outcomes in our processes.</li> </ul>	October 2022	Chris Moore/ Helen Pugh/ Tracey Thomas		WBO13-A

	<ul style="list-style-type: none"> <li>We will continue to monitor quarterly performance management data and report to DMT.</li> </ul>	Quarterly	Chris Moore/ Helen Pugh/ Tracey Thomas		WBO13 – B4
Key measures	No measures this action will be monitored quarterly on PIMS				

## Divisional Profile



Financial Services includes 3 distinct areas:

**Accountancy** – we provide 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).

**Pensions Administration, Systems, Accounts Payable & Administration** – Carmarthenshire County Council is the statutorily administering authority for the Dyfed Pension Fund. It also acts as the administrator for the unfunded Police and Fire pension schemes for Dyfed Powys Police Authority, Mid and West Wales Fire and Rescue Service and North Wales Fire and Rescue Service respectively. The systems function ensures the integrity of the comprehensive corporate financial system for both the Authority and several 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, Pensions Investments and Technical** – the unit manages the strategic direction and operation of the Dyfed Pension Fund Investments and Dyfed Welsh Church Fund, as well as the host authority function of the Wales Pension Partnership. The unit also manages the Treasury Management and Banking Service areas. The 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.

## Self-assessment of performance in 2021/22

COVID-19 had a significant impact on the council's budget and capital schemes also suffered delays due to the pandemic. The team have been working hard and responded well during the Covid pandemic and we adapted to new ways of working and re-acted quickly by introducing new processes in a timely manner such as the introduction of electronic processing for our banking transactions.

The Governance and Audit Committee have approved the audited 2020/21 Statement of Accounts for the County Council Pension Fund and smaller statutory bodies, which marks a major milestone in our annual work programme. Not only did all statements receive an unqualified audit opinion but the audit found no major issues other than some generic all-Wales matters, despite nearly 3 months of in-depth probing. This a fantastic achievement under any circumstances, especially considering, we have dealt with more than £140 million of additional COVID-19 related funding across dozens of specific grants.

We have continued to investigate and develop new ways of working which will result in delivering an even more efficient and effective Accountancy Services longer term. The 'No PO No Pay' proposal is currently in engagement phase with initial trial roll out with support of Chief Executives Department. This will reduce paper requirements, improve end-to-end process efficiency and is a key enabler for possible future e-invoicing.

 Links to sources of evidence (Regulatory Reports, Member T&F, etc.)

- [Commercialisation in Local Government](#)
- [Financial Sustainability Assessment Carmarthenshire County Council](#)
- [TIC proposals](#)

## Key Areas for Improvement arising from Self-assessment

2021/22 budget monitoring shows small underspend at corporate level, with one area of departmental overspend is Communities driven by pressures in Learning Disability/Mental Health services. Considerable ongoing financial services support towards monthly hardship expenditure and quarterly income loss claims to mitigate overspends/income loss respectively. Consideration being given to longer term impact in respect of 2022/23 budgets when emergency funding streams will cease.

The percentage of undisputed invoices which were paid in 30 days (CFH/006) half yearly target of 93.5% was met with an achievement of 97%. However, a downturn is still forecast for quarter 3 due to workforce pressures as a result of staff movement due to secondment, maternity, and termination.

Looking ahead, we will need to consider how to address workload pressures as the impact of additional covid related work upon the division is unsustainable for the long term.

## Key Divisional Risks

Risk Ref or New?	Risk score after mitigation	<b>Identified Risk</b> All risks can be profiled in the Divisional Plan. In this departmental plan the Division should identify: 1. Any Risks that it has on the <b>Corporate Risk Register</b> 2. <b>Significant Risks</b> (scored 16+) 3. <b>For Service High Risk (scored 12+), see Divisional Plan</b>	<b>Divisional Summary Action Plan Ref No.</b>
CRR190005	High (12)	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.	B1/B4 & B5 Further details in Divisional Plans
CRR190013	High (12)	Delivery of the City Deal (Outcomes / Budget)	B1
CRR190014	Medium (8)	Delivery of the Pentre Awel Project (Outcomes / Budget)	B1
CRR190015	High (12)	Delivery of the Approved Capital Programme (Outcomes / Budget)	B4
CRR190043	High (15)	COVID19 - Strategic Financial implications - increased costs due to Covid-19 demands and compliance with Cabinet and Welsh Government instructions	B2 & B5
CRR190056 (Formerly CRR190004)	Significant (20)	Ensuring that the Authority effectively manages its financial resources and responds to the challenges of reduced funding	B5
New Corporate Risk	Significant (20)	Effect of COVID-19 & Brexit on recruiting and impact of workforce planning	A3

## 5 Ways of Working

<b>1. Long Term</b>	<i>The importance of balancing short-term needs with the need to safeguard the ability to also meet <b>long term</b> needs</i>
<i>How good are we at this?</i>	<b>Strong</b>
Self-Assessment Review:	<p>Our Accountancy function provides an important strategic finance role both across corporate functions as well as supporting robust, financially sustainable business case development, including severances</p> <p>The Budget development process is a manifest example of our long-term approaching, bringing together revenue, capital and the judicious management of the councils reserves towards the delivery of the councils' goals.</p> <p>We recognise challenges in the often-short term nature of external financial information available, however we are able to plan for the longer term through the application of prudent assumptions that are kept under regular review.</p>
Planned Improvement for 22/23 - we will:	We will continue to consult with partners to identify longer term financial inputs to improve planning assumptions.
<b>2. Prevention</b>	<i>How acting to <b>prevent</b> problems occurring or getting worse may help public bodies meet their objectives</i>
<i>How good are we at this?</i>	<b>Partial</b>
Self-Assessment Review:	<p>Recovery is now key post Covid and how we manage both the human and financial impact of pandemic long term.</p> <p>Through our development fund process, we enable services to take a preventative approach. However, this is largely reactive.</p> <p>A significant part of Financial Services function is a "business partnering" role – this is in effect a financial advisory role – providing early identification and rectification of financial issues</p> <p>We provide active financial signoff of staff structure changes to prevent future budgetary shortfalls</p> <p>Through our deputyships team, we prevent potentially vulnerable clients being financially exploited</p> <p>Support group accountants to other service areas.</p>
Planned Improvement for 22/23 - we will:	<p>We will continue to review how our team resources are allocated with the aim of taking a more pro-active approach.</p> <p>Active participation within Performance Management Framework Challenge.</p>
<b>3. Integration</b>	<i>Considering how well-being objectives may <b>impact</b> upon each of the well-being goals, on their other objectives, or on the objectives of other public bodies</i>
<i>How good are we at this?</i>	<b>Strong</b>
Self-Assessment Review:	<p>Our accountancy functions are very well embedded within the different departments it supports.</p> <p>We have strong financial integration with other public sector bodies such as the Fire Authority, Police, National Parks and Town &amp; Community Councils.</p> <p>Our deputyships team is well integrated with social services colleagues, seeking to act as one virtual team.</p> <p>We recognise a need improve links both within financial services and across corporate services department</p>
Planned Improvement for 22/23 - we will: (link to action plan)	<p>We will continue to strengthen links and integrate with other departments and public sector bodies.</p> <p>To ensure of Better Ways of Working we will build in opportunities to improve links within the division.</p>
<b>4. Collaboration</b>	<i>Acting in <b>collaboration</b> with any other person (or different parts of the body itself) that could help the body meet its well-being objectives</i>



<i>How good are we at this?</i>	<b>Strong</b>
Self-Assessment Review:	<p>The Systems team 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, Gorllwen 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 Pensions 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>Through the Wales Pension Partnership, the level of pooled investments across Wales is now £16bn (including passive investments) as of 30th September 2021.</p>
Planned Improvement for 22/23 - we will: (link to action plan)	We will continue to explore how we might widen our service provision to other public sector bodies.
<b>5. Involvement</b>	<i>Importance of <b>involving</b> people with an interest in achieving the well-being goals, and ensuring that those people reflect the diversity of the area</i>
<i>How good are we at this?</i>	<b>Partial</b>
Self-Assessment Review:	A mixed method approach to ascertain views of the 2022-25 budget took place including Councillor involvement via online Budget Seminars and Public Consultation. All responses received were considered as part of the budget setting process
Planned Improvement for 22/23 - we will: (link to action plan)	Identify and deliver further changes to increase involvement in the budget setting process

## Financial Services Divisional Summary Action Plan

Ref #	Key Actions and Measures	By When or EOY Target?	By Who? Responsible Officer	Scrutiny	WBO Ref & Step WBOXX/a
<b>A</b>	<b>Accountancy Business Unit</b>				
<b>1</b>	<b>Key Action</b>				
Key Action	We will provide significant financial support and advice to the Swansea Bay City Region	March 2023	Chris Moore/ Randal Hemingway	P&R	WBO13-B6
Key Milestones	We will continue to support the budget development and continued budget monitoring	March 2023	Chris Moore/ Randal Hemingway/ Group Accountants		WBO13-B6
Key Measure	No measure this action will be monitored quarterly on PIMS				
<b>2</b>	<b>Key Action</b>				
Key Action	We will undertake the closure and Audit of the Accounts within the appropriate timescales	March 2023	Chris Moore/ Randal Hemingway		WBO13-B6
Key Milestones	<ul style="list-style-type: none"> <li>Continued Budget Monitoring of Departmental Budgets.</li> <li>Budget reports to be reported to CMT on a quarterly basis with Performance Management Data</li> </ul>	Monitored Quarterly  Monitored Quarterly	Chris Moore/ Randal Hemingway/ Group Accountants		WBO13-B6  WBO13-B6
Key Measure	No measure this action will be monitored quarterly on PIMS				
<b>3</b>	<b>Key Action</b>				
Key Action	We will monitor and report on our key performance indicators taking a balanced scorecard approach and will embed performance management.	March 2023	Chris Moore/ Randal Hemingway		WBO13-B6
Key Milestones	Quarterly monitoring to DMT				WBO13-B6
Key Measure	Balanced scorecard measures to follow	Monitored Quarterly			WBO13-B6
<b>4</b>	<b>Key Action</b>				
Key Action	Use of the Councils reserves to invest in the County and support future development (Moving forward in Carmarthenshire)	March 2023	Chris Moore/ Randal Hemingway	P&R	WBO13-B6 MF5-96
Key Milestones	<ul style="list-style-type: none"> <li>Reserves position in statement of accounts approved by Governance and Audit Committee.</li> <li>Forecast reserves position approved a part of MTFP budget papers</li> </ul>	July 2022  March 22	Chris Moore/ Randal Hemingway		WBO13-B6
Key Measure	No measure this action will be monitored quarterly on PIMS				

<b>5</b>	<b>Key Action</b>				
Key Action	Ensure the Council manages its budgets effectively and prudently (Moving forward in Carmarthenshire)	March 2023	Chris Moore/ Randal Hemingway	P&R	WBO13 -B6 MF5-98
Key Milestones	Bi-monthly budget monitoring	Bi-monthly	Chris Moore/ Randal Hemingway		WBO13 -B6
Key Milestones	No measure this action will be monitored quarterly on PIMS				
<b>B</b>	<b>Pensions Administration, Systems, Accounts Payable &amp; Administration Business Unit</b>				
<b>1</b>	<b>Key Action</b>				
Key Action	We will monitor and implement changes to the Local Government Pension scheme as a consequence of legislation changes, including Sargeant/McCloud	March 2023	Chris Moore/ Randal Hemingway/ Kevin Gerard		
Key Milestones	<ul style="list-style-type: none"> <li>We will implement changes to the Fire fighters Pension Scheme as a consequence of legislation changes</li> <li>We will implement changes to the Police Pension Scheme as a consequence of legislation changes</li> <li>We will continue to undertake GMP reconciliation in accordance with HMRC statutory requirements</li> </ul>	March 2023 March 2023 March 2023	Chris Moore/ Randal Hemingway/ Kevin Gerard		
Key Measures	No measure this action will be monitored quarterly on PIMS  New measure - The % of payments				
<b>2</b>	<b>Key Action</b>				
Key Action	Ensure the prompt payment of undisputed invoices to suppliers	March 2023	Chris Moore/ Randal Hemingway		WBO13 -B6
Key Milestones	<ul style="list-style-type: none"> <li>Learn from the 'No PO No Pay' pilot in the Chief Executives Department and prepare a roll-out action plan on the new process.</li> <li>To work closely with the Departments to monitor and identify areas of performance management.</li> <li>To investigate the feasibility of P2P roll out in schools via a pilot site.</li> </ul>	June 2023 March 2023 July 2023	Chris Moore/ Randal Hemingway/ Kevin Gerard		WBO13 3- A  WBO13 -B6  WBO13 -B6
Key Measures	The % of un-disputed invoices which were paid in 30 days (CFH/006)  The % of OP transactions converted to AP or agreed as exemptions (baseline 20/21 year) (New PI)	Quarterly monitoring	Chris Moore/ Randal Hemingway/ Kevin Gerard		
<b>3</b>	<b>Key Action</b>				
Key Action	We will develop opportunities for collaboration with other Local Government Pension Schemes	March 2023	Chris Moore/ Randal Hemingway/ Kevin Gerard		

Key Milestones	Investigate ways to collaborate with other Local Government Pension Schemes	March 2023	Chris Moore/ Randal Hemingway/ Kevin Gerard		
Key Measures	No measure this action will be monitored quarterly on PIMS				
<b>C</b>	<b>Treasury Management, Pensions Investments &amp; Technical Business Unit</b>				
<b>1</b>	<b>Key Action</b>				
Key Action	To support the Pensions Board	March 2023	Chris Moore/ Randal Hemingway Kevin Gerrard		WBO13 -B7
Key Milestones	<ul style="list-style-type: none"> <li>Supporting the pensions board, identifying training needs and providing opportunities to address those needs.</li> <li>Pro-actively invite pension board members to investment manager presentations.</li> </ul>	March 2023	Chris Moore/ Randal Hemingway Kevin Gerrard		WBO13 -B7 WBO13 -B7
Key Measures	No measure this action will be monitored quarterly on PIMS				
<b>2</b>	<b>Key Action</b>				
Key Action	To collaborate with other Local Government Pension Scheme Funds and pools on investments and governance	March 2023	Chris Moore/ Randal Hemingway Anthony Parnell		WBO13 -B7
Key Milestones	<ul style="list-style-type: none"> <li>Attendance at the cross-pool collaboration group</li> </ul>		Anthony Parnell		WBO13 -B7
Key Measures	No measure this action will be monitored quarterly on PIMS				
<b>3</b>	<b>Key Action</b>				
Key Action	To manage the Host Authority Function for the Wales Pension Partnership	March 2023	Chris Moore/ Randal Hemingway Anthony Parnell		WBO13 -B6
Key Milestones	<ul style="list-style-type: none"> <li>To liaise with the operator and consultants, the joint governance committee and officer working group.</li> <li>Launch of the Fixed Income Sub Funds</li> </ul>	March 2023  March 2023	Anthony Parnell  Anthony Parnell		WBO13 -B6  WBO13 -B6
Key Measures	Return on investments to outperform the average 7-day LIBID (London Interbank Indicative or successor) rate for the year (6.1.2.1) New borrowing rate to outperform the average PWLB rate for the year (6.1.2.2) 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)	Quarterly monitoring  Quarterly monitoring  Quarterly monitoring	Chris Moore/ Randal Hemingway Anthony Parnell		WBO13 -B6  WBO13 -B6  WBO13 -B6

4	Key Action				
Key Action	To ensure timely closure of accounts for the Dyfed Pension Fund	March 2023?	Chris Moore/ Randal Hemingway Anthony Parnell		WBO13 -B6
Key Milestones	<ul style="list-style-type: none"> <li>• To produce the Dyfed Pension Fund Annual Report</li> <li>• Quarterly Budget monitoring and reporting to ??</li> </ul>		Chris Moore/ Randal Hemingway Anthony Parnell		WBO13 -B6  WBO13 -B6
Key Measures	No measure this action will be monitored quarterly on PIMS				

## Divisional Profile –



Strategic Finance (Corporate Projects) undertakes all the necessary financial activities for meeting the funding requirement for projects being undertaken by the Authority, including projects already won as well as those under bidding/development.

Working with the Corporate Management Team the key responsibilities include liaising with all relevant key partners, banks, financial institutions, agencies, and other stakeholders in the financial community to ensure timely availability of financing for projects at the most competitive terms.

## Self-assessment of performance in 2021/22

We have supported the establishment and trading of the Authorities companies (as well as a period of being seconded into one) of:


CWM Environmental Ltd

LLesiant Delta Wellbeing Ltd

Cartrefi Croeso Cyf (now being made dormant)

 Links to sources of evidence (Regulatory Reports, Member T&F, etc.)

- [Financial Sustainability Assessment Carmarthenshire County Council](#)
- [TIC proposals](#)

 See [sources of evidence to inform self-assessment as outlined in Local Government and Elections Act 2021](#)  
See [Moving Forward in Carmarthenshire commitments for this Division](#)

## Key Areas for Improvement arising from Self-assessment

(including Regulatory Report (WAO/FG), Member T&F, TIC and Consultation Findings; addressing bottom quartile results, etc.)

Continued support of the Pentre Awel Project and the financial funding requirements, see Corporate Risk CRR190014 and Key Action 1.

## Key Divisional Risks

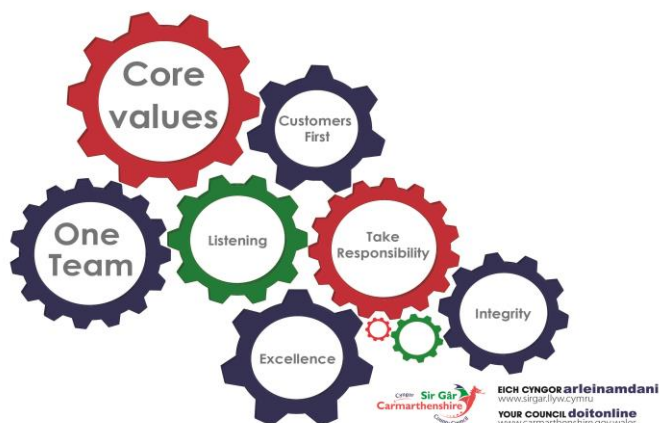
Risk Ref or New?	Risk score after mitigation	Identified Risk	Divisional Summary Action Plan Ref No.
		<p>All risks can be profiled in the Divisional Plan. In this departmental plan the Division should identify:</p> <ol style="list-style-type: none"> <li>1. Any Risks that it has on the <b>Corporate Risk Register</b></li> <li>2. <b>Significant Risks</b> (scored 16+)</li> <li>3. For <b>Service High Risk</b> (scored 12+), see <b>Divisional Plan</b></li> </ol>	
CRR190005	High (12)	<p>Ensuring effective management of Grant Funding (including accessing Grant Funding)</p> <p>Threat of having to repay significant Grant monies.</p> <p>Failure to manage grants and maximise on the funding resources available</p> <p>Failure to secure funding</p> <p>Failure to deliver current projects within the set timescales</p> <p>Failure to deliver outputs in line with the T&amp;Cs of grant paying department.</p>	A1
CRR190013	High (12)	Delivery of the City Deal (Outcomes / Budget)	A1

CRR190014	Medium (8)	Delivery of the Pentre Awel Project (Outcomes / Budget)	A1
CRR190015	High (12)	Delivery of the Approved Capital Programme (Outcomes / Budget)	A1
CRR190043	High (15)	COVID19 - Strategic Financial implications - increased costs due to Covid-19 demands and compliance with Cabinet and Welsh Government instructions	A1
CRR190056 (Formerly CRR190004)	Significant (20)	Ensuring that the Authority effectively manages its financial resources and responds to the challenges of reduced funding	A1 &A2

Ref #	Key Actions and Measures	By When or EOY Target?	By Who? Responsible Officer	Scrutiny	WBO Ref & Step WBOXX/a
<b>A</b>	<b>Strategic Finance</b>				
<b>1</b>	<b>Key Action</b>				
	To lead and advise on the key financial considerations on the delivery of major corporate projects such as the Pentre Awel Project	March 2023	Chris Moore /Owen Bowen	P&R	WBO05 -A
Key Milestones	<ul style="list-style-type: none"> <li>To provide financial advice to the Pentre Awel Project Team through the key stages of project development and to work closely with funding, risk development and property professionals.</li> <li>To plan, manage and monitor financial performance to ensure compliance with financial regulations.</li> <li>To manage the relate budget and ensure compliance with all grant/external funding terms and conditions, and to report any significant variances directly to CMT on a regular basis.</li> </ul>	March 2023  March 2023 March 2023	Owen Bowen  Owen Bowen Owen Bowen		WBO05 -A  WBO05 -A WBO05 -A
Key Measures	No measure this action will be monitored quarterly on PIMS				
<b>2</b>	<b>Key Action</b>				
Key Milestones	To provide on-going support to CWM Environmental Ltd and Llesiant Delta Well-Being.	March 2023	Chris Moore /Owen Bowen		WBO13 -B7
Key Measures	<ul style="list-style-type: none"> <li>To ensure financial monitoring reports are completed on time and ensure the achievement of financial balance.</li> <li>To wok closely with the Companies and the managing board to ensure financing conditions and obligations are met.</li> </ul>	March 2023  March 2023	Owen Bowen  Owen Bowen		WBO13 -B7 WBO13 -B7

## 4. Department Resources

### 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

### Seven areas of Corporate Change required

<p><i>The statutory guidance of the Well-being of Future Generations Act identifies seven areas where change needs to happen. These are:</i></p>	1	Corporate Planning
	2	Financial Planning
	3	Workforce Planning
	4	Procurement
	5	Assets
	6	Risk Management
	7	Performance Management

[① More information on the 7 Areas of Corporate Change required](#)

#### 1. Corporate Planning

See Section 2 - Strategic Context

#### 2. Financial Planning - Budget Summary

① See separate item at Budget Departmental Seminar / Budget Scrutiny for further information

#### Financial Planning - Savings and Efficiencies

To be included once agreed by CMT.



### 3. Key Workforce Planning Issues

#### 1. Current workforce issues?

- The **Risk Management team** are an experienced team with a number of long years' service. Currently 1 member of staff is on flexi retirement so is currently working 4 days a week and will be retiring in the next couple of years.
- Currently a1 member of staff is on Maternity leave and an another member of staff is undertaking this position so there is a gap in the team which is due to be filled. A new Community Benefits Officer has been appointed and is new to the team and 1 member of staff is on flexi retirement currently working 3 days a week.
- Within **Internal Audit** a number of opportunities such as secondments therefore staff have left to progress their career within Carmarthenshire County Council, so a number of posts are vacant.
- The **Accountancy Team** has experienced small incremental growth over recent years in response to increased demands due to service changes. This has typically been behind the curve and continues to create pressure within the service. Over the medium – long term, there are a number of areas which might lead to groups of staff retiring within a similar timeframe, which presents a risk.
- The **Payments section** is experiencing a staffing shortfall due to a range of unrelated issues including retirement/promotion maternity leave.
- The **Revenue Services Team** in the past have had problems maintaining a skilled workforce. A new revised team structure is now in place.
- The **Pensions Administration Team** will need to grow over the coming years to meet additional workload pressures as a result of the McCloud/Sargeant ruling. There is an emerging issue of losing staff to higher paid jobs in other funds which can now be carried out remotely.
- There is a new structure in Business Development incorporating the Directors PA Role and Credit Card, with 1 member of staff on flexi retirement and a post is vacant awaiting to be filled.

#### 2. Future business priorities and implications on the workforce?

- The focus over the next 3 years for the Revenue Services team will be to maintain a skilled workforce with planned training and development.
- The focus for Risk Management is to investigate succession planning with the Risk Manager potentially retiring over the next couple of years.
- The Pensions administration team are focussed on meeting the challenges which McCloud/Sargeant will bring.

#### 3. What is your Development Plan to address the gap implications?

- The Revenue Services team are looking at learning and developing staff to ensure that staff have the necessary skills to contribute to the delivery of the service and to keep the learning aptitude to retain staff.
- The Head of Revenues and Financial Compliance is committed to ensuring a highly skilled team to meet the requirements of the service needs.
- The Pensions administration team are proactively recruiting new staff as soon as any vacancies occur, we continue to deploy the layered training and development model in line with the section restructure implemented 3 years ago.

#### 4. Training:

- As a department we are committed to continuous training and development of our staff, both in the area of job-related skills and in their professional career development. It is the objective of Corporate Services that all staff have access to training and development opportunities to meet both the individual's aspirations and the needs of the service. We have several staff participating in both professional development courses undertaking the

## 5. Procurement

Insurances - Tenders are due for:

- School Travel Policy in April 2022
- Leasehold Flats / Mortgaged Properties Policies in June 2022 – last tendered June 2015 renewal (5+2 years).
- Main Insurance Portfolio in June 2024 – last tendered June 2019 renewal (3+2 years) – this could possibly be tendered 2022 or 2023 depending on renewal terms.
- Engineering Policy in June 2026– last tendered June 2021 renewal (3+2 years) - this could possibly be tendered 2024 or 2025 depending on renewal terms.

Wales Pension Partnership – Currently there is a live tender for Private Market Investments and commencing in June to September 2023 we will be procuring for the Operator.

Swansea Bay City Deal – Various procurement exercises linked to the Digital Infrastructure Project.

## 6. Asset Management

As part of the Better Ways of Working programme we are currently compiling our accommodation needs for the long term based on our service requirements; this will be complete by the end of December 2021.

The County Hall refurbishment programme will affect Corporate Services with some services currently based in County Hall. Currently awaiting a timetable of works.

## 7. Risk Management

See Section 3 – Summary Divisional Plans

Corporate and Significant Risks are identified within the Divisional Business Plan sections of this Departmental Plan.

## 8. Performance Management

At the Governance and Audit Committee, members approved our audited 2020/21 Statement of Accounts, which the Auditor General has signed off which marks a major milestone in our annual work programme, not only did Carmarthenshire receive an unqualified audit opinion but the audit found no major faults other than some generic all-Wales issues, despite nearly 3 months of in-depth probing. This a fantastic achievement under any circumstances, but when you consider that on top of normal activities, we have dealt with more than £140 million of additional COVID-19 related funding across literally dozens of specific grants.

## 5. Departmental Key Measures

Definition / Measure Reference	2019/20	2020/21			2021/22		2022/23	Cost Measure (£)	
	Our Result	Our Result	All Wales Comparative data			Target set	Result (when available)		Target set (at EOY)
			Quartile * to ****	Welsh Median	Welsh Best Quartile				
<b>Revenues &amp; Financial Compliance Division</b>									
1	Actual achievement against Annual Audit Plan (6.4.1.13)	72%	83%	Not applicable			EOY 90% Qtr 3 60%	Qtr 3 58%	
2	Percentage of Draft Reports issued within 10 working days of the fieldwork completion date (new PI)	New PI		Not applicable			New PI		
3	Percentage of Management Responses received within 15 working days of the Draft Report being issued (New PI)	New PI		Not applicable			New PI		
4	Percentage of Final Reports issued within 10 working days of Management Responses being received (New PI)	New PI		Not applicable			New PI		
5	% 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 (6.4.2.3)	96%	97%	Not applicable			EOY 95% Qtr 3 95%	Qtr3 95%	
6	% of motor vehicle incidents reported to Risk Management within 5 working days. (New PI)	New PI		Not applicable			New PI		
7	% of departmental reports returned to Risk Management within 15 days from request (New PI)	New PI		Not applicable			New PI		
8	% of motor claims reports provided by risk management within 10 working days (New PI)	New PI		Not applicable			New PI		

9	% of liability claims reports provided by risk management to insurers within 20 working days(New PI)	New PI		Not applicable	New PI			
10	Will monitor the % of Procurement spend compliant with our Contract Procedure Rules (new PI)	New PI		Not applicable	New PI			£
11	We will monitor the percentage of spend with local suppliers. (New PI)	New PI		Not applicable	New PI			£
12	We will report the activities delivered through Community Benefits in our Construction projects (21st Century School Programme, Housing and Regeneration projects). 1. Number of Persons weeks of training and recruitment (CP1)	45	171	Not applicable	EOY 282 Qtr 3 212	Qtr 3 441		
13	We will report the activities delivered through Community Benefits in our Construction projects (21st Century School Programme, Housing and Regeneration projects). 2. Number of Jobs created and Number of STEM (Science, Technology, Engineering and Mathematics) (New PI)	New PI		Not applicable	New PI			
14	Average number of days taken to process new Housing/ Council Tax Benefit claims. (6.6.1.2)	12.48	11.57	Not applicable	EOY 17 Qtr 3 17	EOY 15.50		
15	Average number of days taken to process notifications of changes of circumstances in Housing/Council Tax Benefit claims. (6.6.1.3)	3.14	2.87	Not applicable	EOY 4 Qtr 3 4	Qtr 3 3.91		
16	% of recently calculated Housing/Council Tax Benefit claims that have been calculated accurately based on a sample check. (6.6.1.9)	97.66 %	96.92%	Not applicable	EOY 95% Qtr 3 93.00 %	Qtr 3 96.87%		
17	% of council tax due for the financial year which was received by the authority. (CFH/007)	97.78 %	95.96%	Awaiting Data	EOY 97.50 %			£

					Qtr 3 84.00 %	Qtr 3 86.49%		
18	The percentage of non-domestic rates due for the financial year which were received by the authority. (CFH/008)	97.22 %	95.55%	Awaiting Data	EOY 97.50 % Qtr 3 84.00 %	Qtr 3 87.14% %		£
<b>Financial Services Division</b>								
1	The % of un-disputed invoices which were paid in 30 days (CFH/006)	96.1%	97.3%	Awaiting Data	EOY 93.5% Qtr 3 93.5%	Qtr 3 97.5%		
2	The % of OP transactions converted to AP or agreed as exemptions (baseline 20/21 year) (New PI)	New PI		Not Applicable	New PI			
3	Return on investments to outperform the average 7 day LIBID (London Interbank Indicative) rate for the year (6.1.2.1)	Data not available	Out Perform ance of 0.25%	Not Applicable	To out perform	Qtr 2 Out perform ance of 0.13% (Awaiting Qtr 3 Data)		£
4	New borrowing rate to outperform the average PWLB rate for the year (6.1.2.2)	Data not available	No new borrowing undertaken	Not Applicable	To out perform	Qtr 2 No new borrowing undertaken (Awaiting Qtr 3 Data)		£
5	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)	Data not available	Out perform ance of 0.69%	Not Applicable	To out perform	0.74% to end of June (Awaiting Qtr 3 Data)		£
6	Balanced scorecard measures to follow	New PI		Not Applicable	New PI			

## Well-being of Future Generations Act 2015

This is an 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



## The Seven Well-being Goals of the Future Generations Act

## 7 National Goals

*A prosperous Wales*

An innovative, productive and low carbon society which recognises the limits of the global environment and therefore uses resources efficiently and proportionately (including acting on climate change), and which develops a skilled and well-educated population in an economy which generates wealth and provides employment opportunities, allowing people to take advantage of the wealth generated through securing decent work.

*A resilient Wales*

A nation which maintains and enhances a biodiverse natural environment with healthy functioning ecosystems that support social, economic and ecological resilience and the capacity to adapt to change (for example climate change).

*A healthier Wales*

A society in which people's physical and mental well-being is maximised and in which choices and behaviours that benefit future health are understood.

*A more equal Wales*

A society that enables people to fulfil their potential no matter what their background or circumstances (including their socio-economic background and circumstances).

*A Wales of cohesive communities*

Attractive, viable, safe and well-connected communities.

*A Wales of vibrant culture and thriving Welsh Language*

A society that promotes and protects culture, heritage and the Welsh language, and which encourages people to participate in the arts, and sports and recreation.

*A globally responsible Wales*

A nation which, when doing anything to improve the economic, social, environmental and cultural well-being of Wales, takes account of whether doing such a thing makes a positive contribution to global well-being

## Local Government and Elections Act 2021

Our performance and governance arrangements for 2021/22 will be evaluated under the requirements of the new Act.

[Statutory guidance on the performance and governance of councils](#)  
(Part 6 of the [Local Government and Elections \(Wales\) Bill](#))

### The statutory duties placed on the Council :

#### 1. **Duty to keep performance under review**

The Act requires a council to keep under review the extent to which it is fulfilling the 'performance requirements' that is, the extent to which it is:

- exercising its functions effectively.
- using its resources economically, efficiently and effectively; and
- has effective governance in place for securing the above.

#### 2. **Duty to consult on performance**

A council must consult a range of people at least once in each financial year about the extent to which the council is meeting the performance requirements. The statutory consultees are local people, local businesses, staff of the council and Trade Unions.

#### 3. **Duty to report on performance**

A council must produce a self-assessment report in respect of each financial year including actions improvement. This must go to the Governance and Audit Committee.

#### 4. **Duty to arrange a panel assessment of performance and respond to it.**

A council must arrange for a panel to undertake an assessment.  
This will apply sometime after the May 2022 Election.

### The Act also references duties from other related Acts

#### 5. **Well-being of Future Generations Act**

The performance and governance provisions in the Bill are framed within the wider sustainable development duties of the Well-being of Future Generations (Wales) Act 2015, which sets out a legally binding common purpose for the public bodies subject to that Act to improve the social, economic, environmental and cultural well-being of Wales.

#### 6. **Socio-economic duty**

Additionally, the ethos of the performance and governance provisions within the Act align to the **Socio-economic Duty, which will come into force on 31 March 2021**. This duty will require principal councils, when taking strategic decisions such as 'deciding priorities and setting objectives', to consider how their decisions might help to reduce the inequalities associated with socio-economic disadvantage.

## Implications for Business Planning 2022/23

We have a duty to keep performance under review Para 2.2 of Guidance

- exercising functions effectively
- using resources economically, efficiently and effectively
- governance is effective for securing the above





Mae'r dudalen hon yn wag yn fwriadol

**PWYLLGOR CRAFFU POLISI AC ADNODDAU**  
**02.02.22**

**STRATEGAETH DDIGIDOL AR GYFER YSGOLION A**  
**STRATEGAETH TECHNOLEG DDIGIDOL 2022-2025**

**Ystyried y materion canlynol a chyflwyno sylwadau arnynt:**

I sylwebu ar Strategaeth Ddigidol ar gyfer Ysgolion a Strategaeth Technoleg Ddigidol 2022-2025

**Y Rhesymau:**

Mae'r strategaethau wedi'u diwygio a'u diweddarau i nodi blaenoriaethau strategol y Cyngor i ategu'r gwaith o ddarparu dysgu digidol dros y 3 blynedd nesaf, ynghyd â chyfeiriad y technolegau digidol a fydd yn cael eu haddasu gan y Cyngor i ategu'r holl wasanaethau digidol.

**Angen cyfeirio'r mater at y Bwrdd Gweithredol / Cyngor er mwyn gwneud penderfyniad:**  
OES

**YR AELOD O'R BWRDD GWEITHREDOL SY'N DAL Y PORTFFOLIO: Y Cyngorydd**  
**Glynog Davies**

Enw Pennaeth y Gwasanaeth:  
Noelwyn Daniel

Swydd : Pennaeth TGCh a  
Pholisi Corfforaethol.

Rhif Ffôn: 01267 226270  
Cyfeiriad e-bost:  
[NDaniel@sirgar.gov.uk](mailto:NDaniel@sirgar.gov.uk)

Awdur: John M Williams a  
Julian N Williams

Swydd:

Rheolwr Gweithrediadau  
TGCh a Llywodraethu a  
Rheolwr Trawsnewid  
Busnes a Chymwysïadau

Rhif Ffôn : 01267 226273  
Cyfeiriad e-bost:  
[JNWilliams@sirgar.gov.uk](mailto:JNWilliams@sirgar.gov.uk)

Mae'r dudalen hon yn wag yn fwriadol

**EXECUTIVE SUMMARY**  
**POLICY AND RESOURCES SCRUTINY COMMITTEE**  
**02/02/2022**

**1. BRIEF SUMMARY OF PURPOSE OF REPORT.**

The strategies have been refreshed to reflect the direction of travel for the Council over the next 3 years in delivering the ambitious plans for digital learning, the authorities Digital Transformation Strategy and to underpin the Council's vision of a "A Digitally enabled Carmarthenshire".

The three-year Digital Schools Strategy outlines where we intend to take the ICT provision within schools over the coming years, to ensure that schools have the appropriate technology to deliver the Digital Competence Framework and the Curriculum for Wales. The overarching principals of the Digital Schools Strategy 2022-2025 are:

- HWB FIRST, CLOUD FIRST APPROACH towards our teaching and learning resources
- Align our Schools ICT provision to the EDUCATIONAL DIGITAL STANDARDS as directed by Welsh Government
- Improve EQUITY OF ACCESS TO DIGITAL LEARNING RESOURCES for our learners
- RATIONALISE AND CONSOLIDATE TO HWB at every opportunity
- Adoption of NEW AND EMERGING TECHNOLOGIES
- IMPLEMENT ALL CHANGES in a methodical and controlled manner
- Add value through COLLABORATION

The Digital Technology Strategy 2022-2025 sets out the Authority's technology priorities and aspirations over the next 3 years. It identifies the key technologies and initiatives that will facilitate and underpin the vision and delivery of the organisations Digital Transformation Strategy. The overarching principals of the Digital Technology Strategy 2022-2025 are:

- Pro-actively to deal with emerging cyber threats, in terms of underlying infrastructure required to secure our systems and also staff awareness and training, cyber incident exercises and procedures.
- Ensure we have a robust and resilient infrastructure at the heart of everything we do
- Implement all changes in a methodical and controlled manner
- Take advantage of potential benefits and efficiencies through the active investigation, pursuit, and adoption of new and emerging technologies.



## CONSULTATIONS

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

Signed: Noelwyn Daniel

Head of ICT & Corporate Policy

A 'virtual' Digital Transformation Seminar was held in December 2020 and attended by over 150 senior officers and Heads of Service from across the Authority. The COVID pandemic and delay of the Digital Transformation Strategy refresh due last year has allowed time for a wider consultation and greater input from key stakeholders and service areas; collaborating and working closely with Media and Marketing, Customer Services and TIC on this revised strategy.

Consultation has been done with primary and secondary school heads during 2021 on the Digital School's Strategy.

Title of Document	File Ref No.	Locations that the papers are available for public inspection
Digital Technology Strategy 2018-2021 (previous strategy)		<a href="https://www.carmarthenshire.gov.wales/media/1213936/digi_tech_strat_doc.pdf">https://www.carmarthenshire.gov.wales/media/1213936/digi_tech_strat_doc.pdf</a>
Digital School Strategy 2018-2021 (previous strategy)		<a href="https://www.carmarthenshire.gov.wales/media/1213938/schools_strat_doc.pdf">https://www.carmarthenshire.gov.wales/media/1213938/schools_strat_doc.pdf</a>

Mae'r dudalen hon yn wag yn fwriadol



# Digital Schools Strategy

“The next steps on the *‘Hwb First, Cloud First’* ladder”

2022 - 2025

[carmarthenshire.gov.wales](http://carmarthenshire.gov.wales)

Cyngor Sir Gâr  
Carmarthenshire  
County Council



Tudalen 305

Digital technology is already firmly established in modern life but historically, its benefits have not always been fully felt within our education establishments.

The overnight near-ubiquitous adoption of Digital Learning during the various lockdown periods remained embedded with schools once they returned to their “new normal” and Hwb is now accepted across Carmarthenshire as the default repository for learning. It has also been essential in keeping learners engaged with their peer groups when being unable to attend school for any period of time.

This strategy builds on the progress made over the last three years to continue the development of technology within schools, creating the conditions to allow everyone involved with delivering education in Carmarthenshire, along with pupils and parents to take full advantage of the opportunities offered by digital technology in order to raise attainment, ambition and opportunities for all.

This strategy outlines the technology we will deliver and support within schools, underpinning the skills and confidence of teachers whilst improving access to digital technology for all learners. We want to ensure that digital technology is a central consideration in all areas of curriculum delivery and that ICT remains embedded deeply so as to enhance the overall quality of education throughout the county.

Welcome to Carmarthenshire County Council’s Digital Schools Strategy 2022-2025. This strategy sets out the next steps that we will follow to deliver our ambitious approach to transform the way we deliver our services to Schools.

Staff, learners and School Leaders have had a very challenging period over the last two years but they have achieved significant progress in the adoption of digital learning and the delivery of the new curriculum.

There are several tough challenges facing education in the years ahead and utilisation of all the available resources made available to schools will support staff and learners in maximising the use and effectiveness of our latest digital innovations.

The adoption of the Hwb environment, followed by the deployment of the Hwb programme and integral sustainability scheme provides schools with a firm foundation on which to deliver.

The Digital Schools Strategy will be reviewed annually and we will report our progress in delivering on the key projects in our Annual Report.

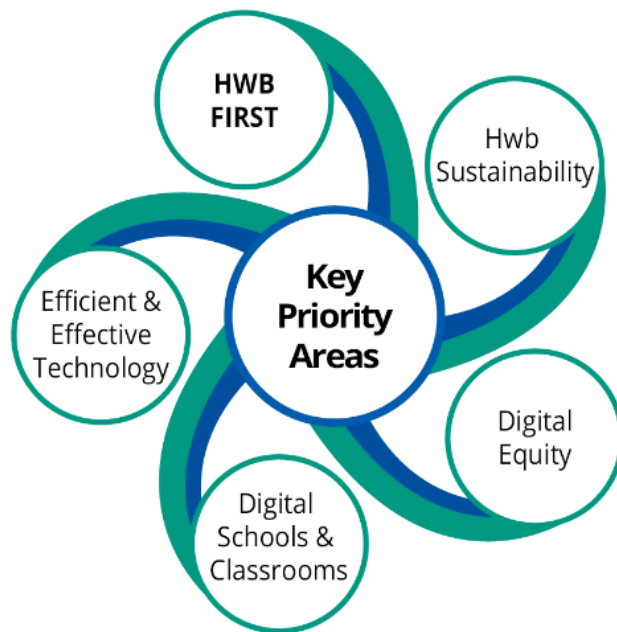
# Building on the Foundation

The previous Digital Schools Strategy outlined the vision, principles and priorities for the ICT service provision to Carmarthenshire’s schools. This new strategy aims to build on the foundations of those works, and supporting the principles of Welsh Government’s Hwb Programme, sets out the key priorities and deliverables, to move our staff and learners forward.

The past two years have been challenging for all teachers, learners and leaders. The dependence upon ICT has increased significantly and the transition from traditional learning methods to online delivery has been swift. Schools should rightly be proud of what has been achieved in a short time.

The schools’ use of Technology promotes innovative learning in school, at home and between students from different schools and establishments. This in turn results in digitally confident students who are inspired by such skilled and creative teaching.

This fully costed and resourced three year Digital Schools Strategy outlines where we intend to take the ICT provision within schools over the coming years, to ensure that schools have the appropriate technology to deliver the Digital Competence Framework and the Curriculum for Wales. The audience for this Digital Schools Strategy are our schools, teachers and staff, elected members and the leadership of the Authority.



ICT Services, through the Service Level Agreement and Sustainability Scheme that it has in place with schools articulates how we we will continue to support schools on a day-to-day basis with its ICT support and services.

We will adopt the Sustainable Development Principles of the Well Being and Future Generations Act in our design and implementation of all transformational activity and new digital technologies to assist us in delivering the Future Generations Wellbeing Objectives.



## “A Digitally enabled Carmarthenshire”

### To help achieve this bold vision within Schools we must:

- Align all digital technology to the needs of the teachers, learners, the Curriculum and the Digital Competence Framework.
- Continue migrating all schools into Welsh Government’s Hwb digital learning platform.
- Strive to continue reducing digital exclusion for learners by working with schools, partners and other stakeholders to improve access to digital resources
- Make digital connectivity and bandwidth the foundation of our schools technology stack, providing reliable and fast access to the Internet and Hwb environment.
- Harness cloud environments to deliver technology anywhere, anytime for schools, teachers, staff and pupils.
- Decommission our central and schools based on-premise infrastructure and replace with virtual cloud technology where at all possible, giving preference to Hwb-hosted solutions.
- Use the Hwb Sustainability Scheme to ensure that staff and learners have equality of access to fit-for-purpose ICT equipment, giving a standardised and consistent experience across all schools.
- Assist schools to achieve efficiency savings without affecting learner outcomes, leveraging corporate contracts wherever possible.
- Provide timely remote and onsite support to ensure that essential equipment is available at key times.
- Provide appropriate web filtering controls to ensure that Internet users are safe online.
- Help and encourage schools to take ownership and responsibility of all matters relating to ICT within their school.

**ICT is an ever-changing environment. It is critical that the services and technology provided to schools underpins the key objectives of teaching and learning in order to enable students to reach their full potential and to fulfil the requirements of the Digital Competence Framework and Curriculum for Wales**

## Overarching Principles



We have seen significant benefits from adopting our **HWB FIRST, CLOUD FIRST APPROACH** towards our teaching and learning resources, technologies and infrastructure. We will continue to pursue and migrate to these solutions where at all possible.

Continue to fully commit and align our Schools ICT provision to the **EDUCATIONAL DIGITAL STANDARDS** as directed by Welsh Government where at all possible, to include but not limited to Hwb, 21<sup>st</sup> Century Schools and the requirements of the Digital Competence Framework/Curriculum for Wales.

Work with schools, utilities and families to constantly improve **EQUITY OF ACCESS TO DIGITAL LEARNING RESOURCES** for our learners. The ultimate aim is that no learner in our schools ever feels digitally left behind.

We currently host and support a variety of complex and ageing legacy technologies, both centrally and within schools. Supporting and maintaining these is both resource intensive and educationally restrictive. We will continue to **RATIONALISE AND CONSOLIDATE TO HWB** at every opportunity.

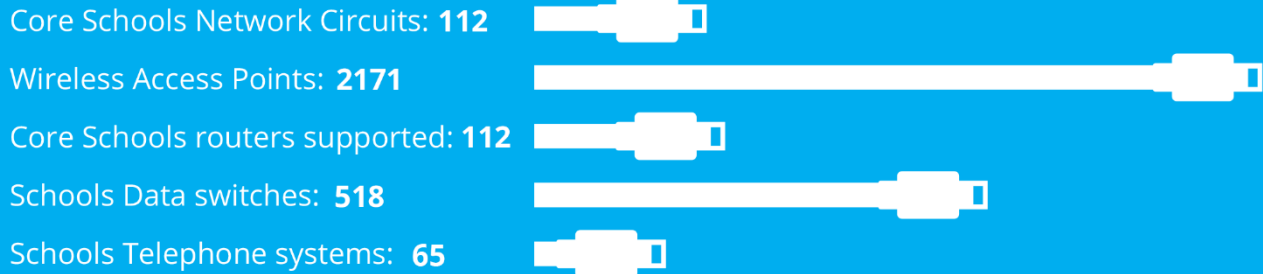
We will take advantage of potential benefits and efficiencies through active investigation and best-fit assessment, leading to the pursuit and adoption of **NEW AND EMERGING TECHNOLOGIES**. Where there is potential to add significant value within schools, we will pursue that technology.

We will strive to **IMPLEMENT ALL CHANGES** in a methodical and controlled manner. We will consult and communicate frequently with all relevant stakeholders.

Where there are opportunities to underpin and add value through **COLLABORATION**, we will do so, locally, regionally, nationally and across the education, public and private sectors.

# Carmarthenshire's Digital Estate

## Communications (Voice & Data)



## Data Centers

- 2 resilient data centres
- 20 centrally virtualized servers
- 32 Secondary servers
- 62 Mac Servers
- 25+ Tb of Cloud Hosted Data



## End Users

- Schools staff: **3,800**
- Learners: **27,500**



## Devices

- Primary Laptops & PCs: **2,500**
- Secondary Laptops & PCs: **4,600**
- Tablets: **2,800**
- Chromebooks: **8,200**



# Continue the Hwb First, Cloud First Journey



## What it means

- Continue to fully exploit the products and services within Welsh Government's Hwb Learning platform. This system has provided the key foundation to support learning throughout the Covid-19 lockdown period and now forms a key element of education provision in the post-pandemic phase.
- To reduce costly physical infrastructure within schools, reducing the capital expenditure required to replace this infrastructure.
- Reduction of the physical infrastructure within schools also equates to a reduction in the power consumption and a decreasing carbon footprint for each school campus, year-on-year. This will align with the Authority's pledge of being Net Zero Carbon by 2030.

## Why is it important?


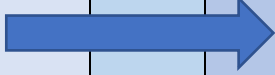
- School data is such a valuable asset, we should ensure that it is stored in the most secure, resilient, efficient, cost effective and appropriate location.
- That it is accessible in a secure manner for staff and learners to teach and learn at home, ensuring our students continue to learn when it is not possible to attend school.
- It allows our students to learn new skills and subjects whilst meeting new people and gaining new experiences across different campuses.
- The proliferation and variation of on-premise data storage and services both centrally and within Carmarthenshire's schools is neither sensible nor sustainable. Our continuation of the

Hwb journey allows us to continue to scale down and decommission this physical infrastructure for future years.

- The digital tools and resources within the Hwb platform supports a national approach to planning and delivery, enables sharing of skills, methods and resources between educational practitioners in Wales; supports teaching and learning in Welsh and English and provides equal access to free, classroom focused tools and resources for all teachers and learners in Wales.

## How will we continue the Hwb First, Cloud First Journey?

- Identification and migration of remaining schools data from any on-premise data source, including any new opportunities arising from additional or emerging functionality within Hwb. In particular, the migration of school websites that were on hold during the Covid-19 Pandemic to support schools in distributing work and information to parents and learners.
- Ensuring that all new and existing devices are managed within the Hwb administration tools. Removes hard-to-manage and expensive to maintain legacy devices.
- That in future technology refreshes and curriculum updates, of cloud-hosted software packages should be our default, unless there are significant and compelling reasons to retain on-premise.
- To work with Welsh Government, exam bodies, the Hwb team and specialist subject colleagues within the Authority to investigate options for cloud-hosting Music, Design & Technology and ICT software.

Key Projects	Key Outcomes	2022	2023	2024
Further assessment of onsite infrastructure and decommissioning of all possible onsite server infrastructure.	<ul style="list-style-type: none"> <li>• Modern, safe and sustainable data storage solution.</li> <li>• Secure, highly resilient and highly available data storage solution.</li> <li>• Increase functionality relating to sharing and collaboration of data.</li> <li>• Reduction in power consumption and decrease carbon footprint</li> </ul>			
Migration of remaining devices into the Hwb management system	<ul style="list-style-type: none"> <li>• Safe, secure and trackable solution for managing and administering all school devices.</li> </ul>			
Review of key software packages utilised in schools to establish additional options for migration to the cloud to support blended and digital learning	<ul style="list-style-type: none"> <li>• Safe, secure and cloud-based solution to allow students greater access to software outside of dedicated classrooms and facilities.</li> <li>• To work with and to inform Welsh Government and examination bodies to identify options for alternative software provision.</li> <li>• To work with schools to evaluate suitable software packages for a comprehensive provision within Music, Design &amp; Technology and ICT.</li> </ul>			



# Hwb Sustainability Programme



## What it means

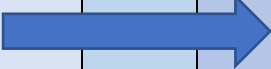
- That we will work closely with Welsh Government to refresh and improve our networking and wireless infrastructure to ensure our learners have a fit-for-purpose network.
- That we will actively engage with our schools on a regular basis to review the programme to ensure it continues to meet needs and that all schools have equal ICT provision for their staff and learners.
- Using the Welsh Government Hwb grant, Carmarthenshire ICT Services will refresh and increase the number of devices in schools, ensuring learners have a greater equity of access to an age-appropriate device.
- That the technology used to teach is fit-for-purpose and supports learner engagement within classrooms.
- Improve service provision by integrating Welsh Government's Education Digital Standards fully into the Hwb Programme roll-out.
- Schools no longer need to worry about how they can afford to replace or improve their technology. Their regular contributions to the Hwb Sustainability scheme replaces end-of-life equipment when needed, so a school does not go without because of budget issues.

## How will we continue to effectively deliver the Hwb Sustainability Programme?

- Continue to work with Welsh Government to be a key contributor and influencer to the all-Wales Hwb programme.
- To fully utilise the contracts and frameworks provided by Welsh Government in order to achieve the best possible value for money in all purchases from the scheme.
- Ensure that the scheme is reviewed and updated annually so that it is always responsive to changes in teaching and learning .
- Review the numbers of devices within schools on a termly basis and to adjust the types and quantities of devices to maintain equality.
- Provide all schools with the opportunity to share their digital learning plans and to look for opportunities as to how they can be supported within the framework of the scheme.
- Seek opportunities to upskill all Schools ICT staff to support the new equipment and to ensure that every teacher and learner is able to realise their aims.

## Why is it important?

- Ensure that all learners have equal access to devices across every school, thus eliminating barriers to creativity and learning due to outdated or lack of technology.
- Eliminate digital inequality between schools so that all students have an equal opportunity to succeed.
- Provide teachers with a fit-for-purpose device upon which to deliver their lessons, that is fully integrated with the Hwb environment.

Key Projects	Key Outcomes	2022	2023	2024
Welsh Government Hwb Programme	<ul style="list-style-type: none"> <li>• Work closely with Welsh Government colleagues and groups to represent Carmarthenshire learners.</li> <li>• Manage and implement the Hwb Programme to the specific requirements of Welsh Government.</li> <li>• Implement Education Digital Standards as part of the programme rollout.</li> </ul>			
Carmarthenshire's Hwb Sustainability Programme	<ul style="list-style-type: none"> <li>• To review equipment age profiles, conditions and numbers to ensure that all staff and learners have equal access to digital resources.</li> <li>• Consult with schools regularly to ensure that the scheme responds to changes and continues to fulfil needs.</li> <li>• Work with colleagues within and external to the Authority to take advantage of any learning opportunities to improve skills.</li> </ul>			

# Digital Equity


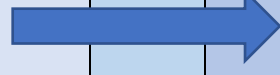


## What it means

- Working towards ensuring that none of our learners are disadvantaged because they are unable to gain access to online learning resources, whether in school or at home.
- To improve access to Hwb resources, homework and create opportunities for learners to learn new subjects, whether available in their school or not.
- Making sure every teacher has the same opportunity and confidence to deliver their subject efficiently and effectively.
- Taking every opportunity to deliver Anytime, Anywhere learning and to explore every possibility to make it a reality for all students, with the aim that no learner is left behind.
- That students who are unable to attend school are able to still learn and participate with their peers, whilst working to improve their outcomes.
- That in the event of a lockdown, education can continue to be delivered and that teachers are able to keep in touch with all students, particularly vulnerable learners.
- That students have access to the best possible selection of subjects, whether taught in person or electronically, to allow them to move forward into the future career choices.
- To work with Families who have connectivity issues at home to signpost options and solutions so they can have the most appropriate and cost-effective solution for their needs.

## Why is it important?

- That all students can participate in all online learning opportunities, irrespective of their own situation.
- Teachers have the confidence to teach their students knowing that the devices are the same and that there is a consistent experience every time.
- To consider options for a scheme where learners can borrow a school device for short periods of time when they are unable to attend their classroom.
- Evaluate the demand, options and funding paths for providing a more permanent scheme to provide students with their own devices for their secondary school career.
- Provide signposting and advice to families who are having difficulties with connectivity and access to the internet.

Key Projects	Key Outcomes	2022	2023	2024
Evaluate options for a student device scheme	<ul style="list-style-type: none"> <li>Consider all viable options to provide all or some students with access to a device, both inside and outside school to improve learner outcomes.</li> </ul>			
Improvements to Digital Connectivity	<ul style="list-style-type: none"> <li>To coordinate support and guidance for families who have poor internet connectivity at home but wish to improve their facilities.</li> </ul>			

# Digital Schools & Classrooms



## What it means

- Empowering teachers and learners to be as efficient and effective as possible in the right place, at the right time based on the needs of education.
- Facilitating truly Digital Schools through the efficient and appropriate deployment of laptops, tablets, productivity tools and aligned technologies.
- Ensuring that schools have the right provision of devices within the Hwb Sustainability scheme to support digital learning.


## Why is it important?

- Digital Education has – and continues – to evolve rapidly in terms of the tools and technologies available to staff and learners on a daily basis.
- The Covid-19 pandemic has firmly embedded digital learning within the expectations of learners and skill sets of staff. These skills must not be lost, but sustained and developed.
- To ensure continuous improvement in teacher and learner outcomes, schools must evolve and keep pace with this technology.
- To give teachers the confidence that they can teach using reliable and good quality devices with the confidence that lessons can be delivered consistently and without incident.
- The technology used most commonly in classrooms, offices and meetings, whether in-person or online, can and should facilitate the aims and objectives of schools, the Local Authority and Welsh Government.

- To reduce any gaps between the technology and skills by continuing to work closely with the Education Department's internal training schemes.

## How will we achieve Digital Schools and Classrooms?

- Encourage and promote the continued development of the first class productivity and collaboration tools available within the Hwb Digital Learning Platform.
- Working closely with schools to ensure end-user devices are upgraded and/or replaced at the relevant intervals agreed within the Sustainability Scheme.
- To work with and help find solutions for schools to offer an increased range of examined subjects through Blended Learning and other collaborative partnerships.
- Provide schools with access to the relevant frameworks and mechanisms to extract maximum value for money on all of their ICT-related expenditure.
- Continue to deploy technologies that facilitate a truly agile approach to learning, allowing teachers and learners to connect, communicate and access resources from the most appropriate location in relation to their needs.
- Provide consultancy to assist secondary schools to embrace digital learning, including device loan and "Bring Your Own Device" schemes.

Key Projects	Key Outcomes	2022	2023	2024
Ensure Classroom Hardware Provision supports teaching and learning	<ul style="list-style-type: none"> <li>• Provision of the right device in the right place, at the right time for teachers and learners.</li> <li>• Support schools to benefit from the device investment.</li> </ul>			
Support Digital Learning	<ul style="list-style-type: none"> <li>• Work closely with schools and the Local Education Authority to provide a joined-up approach to Digital, Blended and Remote Learning.</li> <li>• To support innovative ways of teaching and learning.</li> </ul>			
Support Partnership working with our Schools	<ul style="list-style-type: none"> <li>• Ensure that centrally negotiated contracts provide maximum value for money and efficiencies.</li> <li>• Work with Secondary schools to implement BYOD (Bring Your Own Device) where appropriate.</li> </ul>			

# Efficient & Effective Technology



## What it means

- A resilient, 21<sup>st</sup> Century data and voice network infrastructure that facilitates and underpins teaching and learning across the County and keeps Carmarthenshire's learners safe online.
- Sufficient bandwidth for all schools, to facilitate fast and effective access to the internet, Hwb and all other cloud-based teaching and learning resources and data.
- Ensuring that schools data, systems and services are secure.
- Managing and protecting the integrity of devices and appliances to minimise any opportunity for losses or breaches.


## Why is it important?

- To ensure schools have quick and easy access to the digital resources needed to meet the demands of the curriculum.
- To facilitate communication and collaboration between schools and other learning establishments to give our students every possible opportunity.
- To share data, systems and services locally, regionally and nationally.
- Demand on bandwidth has grown rapidly since learners have returned to school after remote learning and we fully expect this demand to increase consistently in future years.
- To ensure the Local Education Authority and schools are meeting their obligations in terms of safeguarding Carmarthenshire's pupils.

- Data, systems and digital services are crucial in delivering 21<sup>st</sup> Century Education. With the increased and ever-evolving cyber threat to individuals and organisations, it is essential that we continually develop and enhance our protection accordingly.

## How will we deliver Efficient and Effective Technology?

- Securing and investing central capital funding and human resource to achieve all of the above.
- Constantly working with partners to improve, maintain and enhance our County-wide network and wireless provision to increase bandwidth, improve filtering, eradicate bottlenecks and speed up access.
- Continue to lobby Welsh Government, Openreach and other providers for increased broadband coverage across the County to support students and teachers accessing online resources at home.
- To support families by providing advice and guidance to improve their current connectivity at home.
- We will act responsibly, plan ahead and be realistic regarding all aspects of schools ICT security to ensure our network is protected with suitable cyber-protection.
- We will upgrade our device protection and encryption to ensure the security and integrity of schools hardware and devices.
- We will provide secure authentication and access to core central services for the appropriate teachers and staff as and when necessary.

Key Projects	Key Outcomes	2022	2023	2024
Bandwidth Review & Management	<ul style="list-style-type: none"> <li>• Ensure that the internet connection remains fit for purpose.</li> <li>• Take advantage of new and emerging technologies to make better use of bandwidth.</li> </ul>			
Digital Connectivity	<ul style="list-style-type: none"> <li>• Improved connectivity for staff and learners by working with stakeholders to identify areas for improvement and technology options.</li> <li>• Facilitate provision of advice and guidance to assist families and staff in improving their digital connectivity.</li> </ul>			
Device Management & Software Deployment	<ul style="list-style-type: none"> <li>• Faster deployment of devices and software packages.</li> <li>• Ability for staff to manage own devices and software installations using a controlled and protected approach.</li> </ul>			
Review & Evolution of Cyber Security capabilities	<ul style="list-style-type: none"> <li>• A more resilient and secure digital environment.</li> <li>• Improved response capabilities to a cyber breach.</li> </ul>			



# Digital Technology Strategy

“A secure, resilient and cloud ready approach”

**2022 – 2025**

[carmarthenshire.gov.wales](https://carmarthenshire.gov.wales)

Cyngor Sir Gâr  
**Carmarthenshire**  
County Council



Tudalen 321

## **Foreword from Councillor Glynog Davies**

This Digital Technology Strategy recognises that flexible, agile, and integrated technology can only be delivered to the Council and its Residents if we adopt the same leading-edge models of some of the most forward thinking and efficient companies across the globe.

The importance of digital connectivity is increasing as it becomes more critical to the modern day lives of residents, businesses and the delivery of Council services. This importance has been further highlighted by the pandemic and as we recover and restart, access to fast, reliable internet connectivity is no longer a luxury; it is a necessity for residents, local businesses and the delivery of public services.

This important document outlines how Carmarthenshire County Council will underpin and deliver the components necessary to achieve digital transformation.

**Cllr. Glynog Davies**  
**Cabinet Portfolio holder for ICT**

## **Foreword from the Chief Executive of the Council**

Welcome to the revised Carmarthenshire County Council Digital Technology Strategy 2022-2025. This builds on our previous strategy as we continue our ambitious approach to transform the way we deliver our services to the residents of Carmarthenshire.

The Covid-19 pandemic demonstrated the significant importance of a robust, resilient digital infrastructure and the projects delivered to date ensured we were well placed to handle the challenges of 'home working' for all office-based staff and the delivery of online learning for schools. We continue to face some tough challenges ahead with the Pandemic and against a backdrop of on-going austerity and it is essential we maximise the use of the very latest digital innovations to ensure Council services are financially sustainable into the future.

An enhanced digital infrastructure that takes advantage of the latest technologies and takes every opportunity to address the net-zero carbon aspirations of this Authority by 2030 is critical. It will provide the foundations allowing us to work with partners from across the Region to deliver more effective, efficient services and transform the local economy ensuring it can compete on the global stage.

**Wendy Walters**  
**Chief Executive**

# Our vision for Carmarthenshire

**"A Digitally enabled Carmarthenshire"**



## **To achieve this bold vision, we will:**

- Build a flexible, hybrid and robust technology infrastructure to underpin the agile workforce, building on lessons learned from the Pandemic.
- Adopt safe, flexible, and citizen centric digital platforms at the heart of our technology.
- Make use of the latest collaborative technologies to underpin the new 'Better Ways of Working' environment for Staff and Elected Members.
- Adopt strong cyber resilience technologies to ensure services to staff and citizens are safe and secure.
- Plan, test and review Disaster Recovery technologies to ensure the Authority's data and systems are robust and resilient.
- Strengthen our critical on-premises infrastructure to ensure it can meet the needs of the workforce and provide services to our citizens.
- Exploit cloud technology and systems where feasible to help departments deliver their services.
- Adapt a unified Communications policy, providing technology to fit service telephony and communication needs.

- Review and evaluate the latest desktop and smartphone technologies, providing a choice of pertinent technologies for all needs.
- Seek to collect, interrogate, and extract value from data to facilitate organisational strategy, decision-making and service delivery.
- Make digital connectivity and bandwidth the foundation of our technology stack, for the organisation, elected members, citizens, and businesses.
- Facilitate and underpin collaboration locally, regionally and nationally by providing the infrastructure required at public sector hubs through the deployment of suitable technologies.
- Value, recognise and invest in the people and skills required to achieve the aims of this Strategy.

## What is a Digital Technology Strategy?



The Digital Technology Strategy sets out the Authority's technology priorities and aspirations over the next 3 years. Its purpose is to identify the key technologies and initiatives that will facilitate and underpin the vision and delivery of the organisations overarching Digital Transformation Strategy. The audience for this Strategy is the leadership of the organisation, elected members our customers and staff.

The Authority will make use of appropriate emerging and existing technologies to facilitate and underpin service transformation, improvement, and efficiencies.

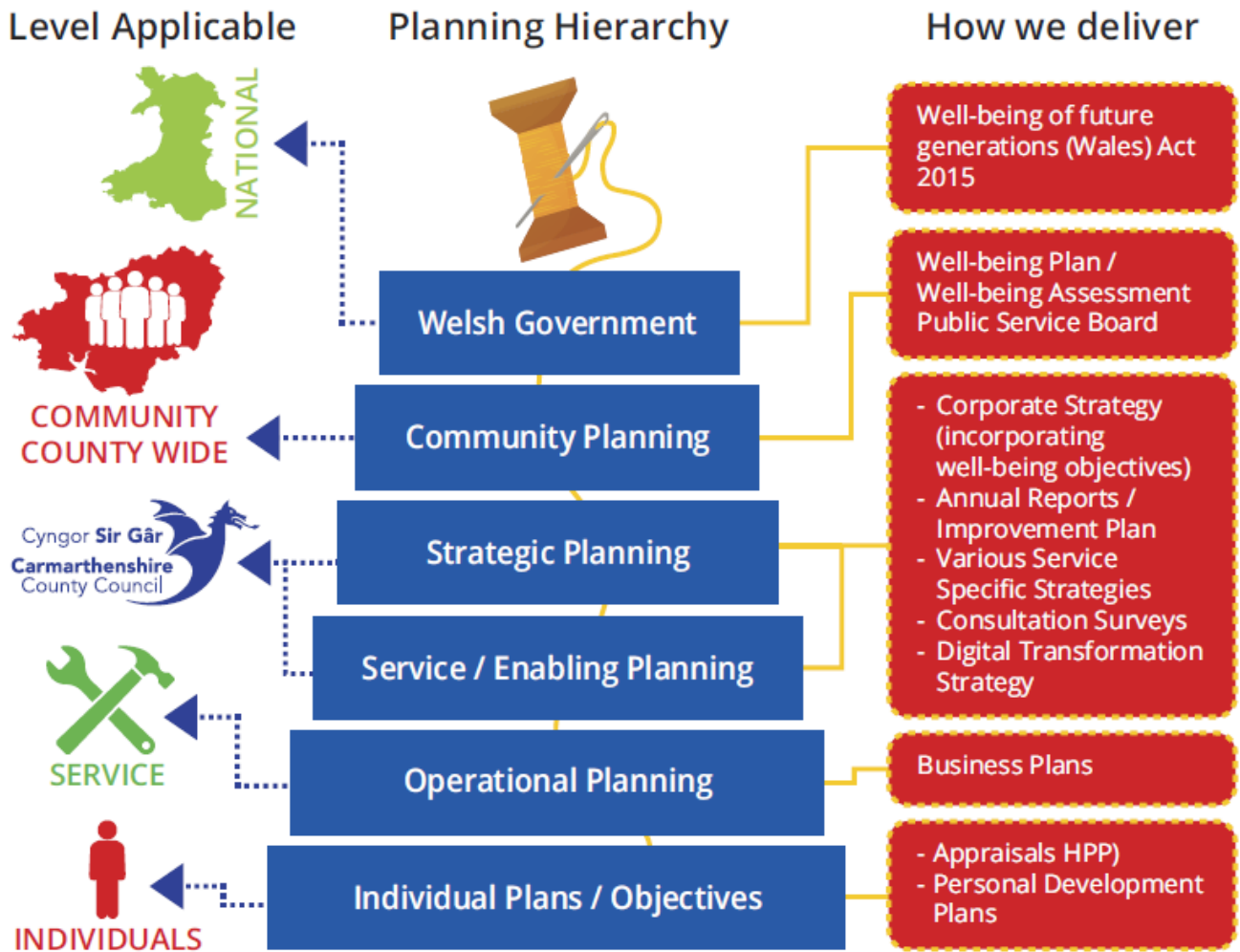
This Digital Technology Strategy recognises that flexible, agile and integrated technology can only be delivered to the Council and its Residents if we adopt the same leading-edge models of some of the most forward thinking and efficient companies across the globe.

We will adopt the Sustainable Development Principles of the Well Being Future Generations Act in our design and implementation of new digital technologies to assist us in delivering the Future Generations Well Being Objectives.



# How plans are made - The Planning Cascade

*"The Wedding Cake & Golden Thread"*



The Digital Technology Strategy will ensure several of the expected outcomes identified within the revised council's Corporate Strategy (April 2021) can be achieved which in turn will underpin the delivery of our Well-being Objectives. Action plans will be developed to deliver the key projects identified and these will be monitored via Performance Management Systems and reported annually. All projects will be designed and delivered in-line with the 5 Ways of Working.

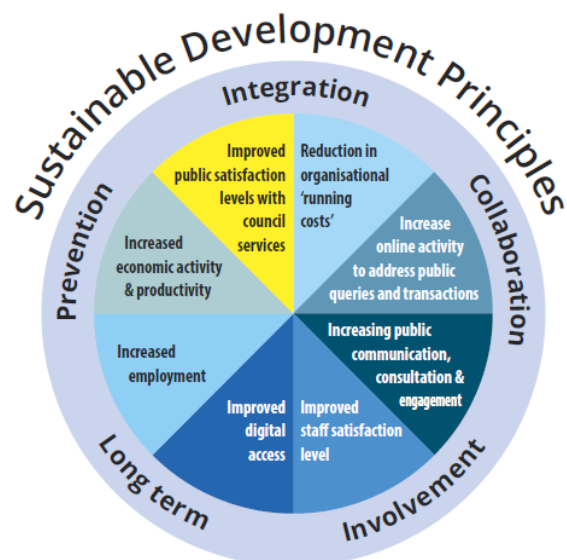
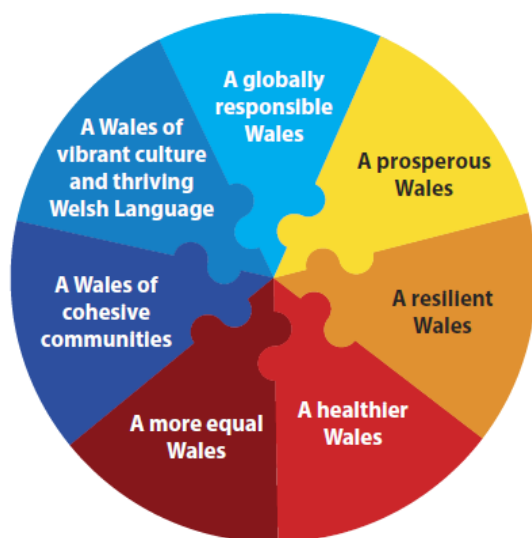
## Well-being of Future Generations Act (Wales) 2015:

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, environmental, and cultural well-being of Wales, in accordance with sustainable development principles. The law states that:

(a) 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) We must demonstrate use of the 5 ways of working: Long term, integrated, involving, collaborative and preventative.

(c) We must work towards achieving all the 7 national well-being goals in the Act. Together they provide a shared vision for public bodies to work towards.





Wales was the first country to implement a Well-being of Future Generations Act, which provides a shared vision for all public bodies in Wales to work towards. As a public body subject to the Act, we are required to set and publish Well-being Objectives that maximise our Contribution to the Well-being Goals. We have incorporated these Well-being Objectives into the council's Corporate Strategy.

# Digital Technology Strategy – Overarching Principles

The compelling drivers of this strategy are to adopt a **SECURE, RESILIENT AND CLOUD READY** approach towards our future infrastructure and technologies. These factors will underpin all other principals within this Strategy.

To achieve the ambitions laid out in this strategy we will adhere to the following overarching principles:

<p><b><u>CYBER SECURITY</u></b></p> <p>Securing our infrastructure and systems has always been important, however since the pandemic and the move to remote working there has been a 935% increase in double-extortion ransomware attacks and a 600% increase in cyber-crime in general. It is therefore key that we are pro-active and equipped to deal with emerging threats, in terms of underlying infrastructure required to secure our systems and also staff awareness and training, cyber incident exercises and procedures.</p>	
<p><b><u>DISASTER RECOVERY</u></b></p> <p>Disaster Recovery will serve as a key priority; we will ensure we have a robust and resilient infrastructure at the heart of everything we do. We will plan, test and document resilience between our two data centres in Carmarthen and Ammanford on an annual basis.</p>	
<p><b><u>CHANGE MANAGEMENT</u></b></p> <p>We will strive to implement all changes in a methodical and controlled manner. We will consult and communicate frequently with all relevant stakeholders and follow our agreed change control procedure.</p>	
<p><b><u>RESEARCH, RATIONALISE AND CONSOLIDATE</u></b></p> <p>We will take advantage of potential benefits and efficiencies through the active investigation, pursuit, and adoption of new and emerging technologies. Where there is potential to add significant value, we will pursue that technology.</p> <p>We host an array of applications running on various technologies, with some being outdated and unsupported. We will look to</p>	



upgrade aging technologies to ensure they are secure and resilient and explore cloud options for systems that are resource intensive and organisationally restrictive to maintain. We will seek to evaluate and replace at every opportunity.

### **COLLABORATE**

Where there are opportunities to underpin and add value through collaboration, we will do so, locally, regionally, nationally, across the public and private sector.



### **NET ZERO CARBON AUTHORITY**

We have a significant role to play in both further reducing our own greenhouse gas emissions and providing the leadership to encourage residents, businesses, and other organisations to take action to cut their own carbon footprint.

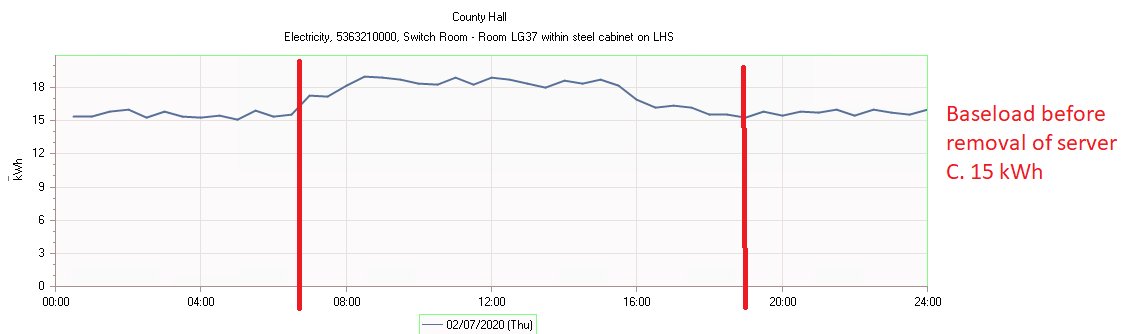
We will ensure that all solutions in the strategy aim to align with the councils Net Zero Carbon by 2030 pledge.



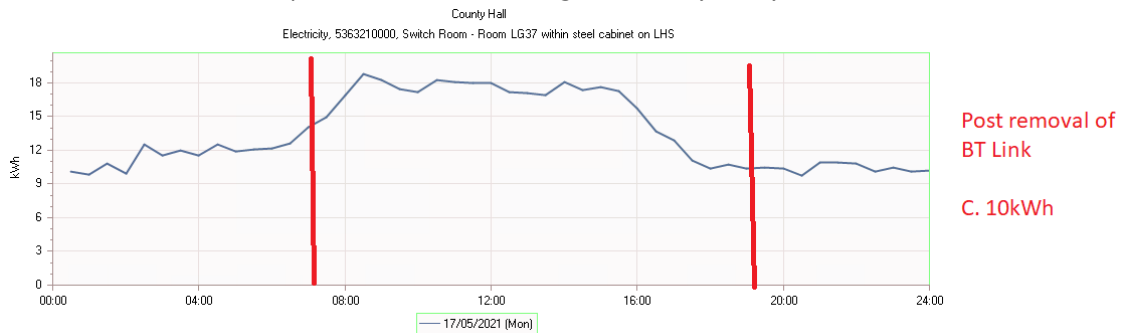
# Net Carbon Zero by 2030

With the ever-increasing reliance on ICT systems, achieving carbon neutrality will be a challenging aspect of this strategy. We will look to migrate systems to cloud services where possible, taking advantage of the advances partners such as Microsoft are making in achieving offsetting carbon emissions. We will strive to ensure that the most energy efficient technologies are used within the Council ICT Infrastructure wherever possible and continue to assess the cooling requirements of our two on-premises data centres in Carmarthen Street and Ammanford. Over the past years, we have reduced our carbon footprint by migrating our data centre from County Hall to Ty Parcyrhun, which has allowed us to replace core infrastructure with new modern technologies that are more energy efficient, whilst reducing the cooling requirements (air con) of our data centres.

The graphs below show the reduction in energy used at County Hall data centre by 1/3<sup>rd</sup> (5kWh) since we decommissioned the infrastructure housed there:



Baseload prior to data centre migration to Ty Parcyrhun – 15kWh



Baseload following migration and decommissioning of redundant infrastructure – 10kWh

Further efficiencies in County Hall will be achieved over the next year by fully decommissioning the associated infrastructure (Air Conditioning, UPS, Generator, Alarm Systems). We will continue to exploit the Microsoft Office 365 suite of applications over the next 3 years, taking advantage of the aggressive plans Microsoft have produced to become carbon neutral by 2030.






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*In January, Microsoft's CEO Satya Nadella, President Brad Smith, and Chief Financial Officer Amy Hood launched a bold new environmental sustainability initiative focusing on carbon, water, waste and biodiversity. We began this work by announcing one of the most ambitious carbon commitments put forward by any company: Microsoft will be carbon negative by 2030 and remove from the environment more carbon than we have emitted since our founding by 2050. We outlined a detailed plan to get there and committed to providing updates on our progress. We have been working hard to turn our commitments into action and, today, we are announcing seven important new steps on our path to be carbon negative by 2030 (Microsoft, 2020)*

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## Carmarthenshire's Digital Estate

ICT Services supports a vast estate of infrastructure, end user accounts and devices. Over the past 3 years with a focus on agile working and the effects of the pandemic there has been a huge shift towards remote working which is reflected in the number of laptop and mobile devices in the figures below. We have also seen an increase in corporate staff with IT accounts, an increase of 1250 users, the majority of which are frontline workers.

<p><b>Communications (Voice and Data)</b></p> <p><b>Corporate Buildings:</b> 137  <b>Core Network Circuits:</b> 156  <b>Broadband Circuits:</b> 134  <b>Wireless Access Points:</b> 2,752 (469 Corporate, 2283 Schools)  <i>Increase of 721 access points since 2018.</i>  <b>Core Routers:</b> 160  <b>Data Switches:</b> 410  <b>Telephony Systems:</b> 2  <i>15 systems rationalised since 2018.</i></p> 	<p><b>End Users</b></p> <p><b>Corporate Staff:</b> 4,750 (Including 81 Councillors and co-opted members)  <i>Increase of 1250 staff since 2018.</i>  <b>Partners Accounts (NHS / Housing etc.):</b> 500  <b>Schools Staff:</b> 3,600  <b>Schools Pupils:</b> 27,000</p> 
<p><b>Corporate Devices</b></p> <p><b>Laptops:</b> 2753  <i>Increase of 973 laptops since 2018.</i>  <b>PCs:</b> 381  <i>Decrease of 1535 PCs since 2018.</i>  <b>Tablets:</b> 545 (445 iPads, 100 Android)  <b>Smart Phones:</b> 2518 (438 iPhone, 2080 Android)  <i>Increase of 2072 since 2018.</i>  <b>Desk Phones:</b> 2800  <b>Softphones:</b> 546  <b>Standard Mobiles:</b> 354</p> 	<p><b>School Devices</b></p> <p><b>Windows:</b> 3243 (1255 Primary, 1988 Secondary)  <b>Chromebooks:</b> 6267 (4513 Primary, 150 Secondary)  <b>Mac:</b> 217 (67 Primary, 150 Secondary)  <b>Tablets:</b> 1897 (280 Primary, 1617 Secondary)</p> 
<p><b>Data Centre Infrastructure</b></p> <p><b>Data Centres:</b> 2  <b>Corporate Servers:</b> 350 (334 Virtual, 26 Physical)  <i>Decrease of 71 virtual and 34 physical servers since 2018.</i>  <b>Schools Servers:</b> 75 (334 Virtual, 26 Physical)  <i>Decrease of 20 virtual and 71 physical servers since 2018.</i>  <b>Total Volume of Storage:</b> 412TB  <i>Increase of 162TB from 2018.</i>  <b>Tapes required to support 3 months of backup:</b> 130 (2 copies)  <i>Decrease of 1670 tapes from 2018 (Retention reduced from 12 months to 3 months)</i></p> 	

## Resources Required

The Authority is investing a significant number of resources in ensuring we have a robust and resilient infrastructure to underpin citizen service delivery across the County. In addition to ICT Services ongoing revenue budget, we will also invest the following over the next 3 years:

- £315k to upgrade and replace virtual server and storage environments.
- £190k to upgrade ICT disaster recovery infrastructure.
- £110k to enhance the county network infrastructure.
- £100k to replace aging UNIX hardware.
- £180k to invest in Cyber Security provisions to meet ever increasing and evolving threats.



## People & Skills

We will invest £112K over the next 3 years in retaining and upskilling ICT staff, providing them with the ability to take this ambitious adoption of future technology forward.



## Challenges

The traditional model of maintaining our infrastructure via cyclic capital spends will become less prevalent over the coming years. The transition to more Cloud based "As a Service" ICT models will require a shift to increased revenue spend. ICT Services will work closely with Senior Managers and Finance colleagues on a case-by-case basis to ensure sound business cases are developed to address this transition, and that best value is achieved for the organisation.

## A Secure, Resilient and Cloud ready approach

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"Digital change has accelerated in recent years and now offers us a range of new tools for solving old or novel problems. In essence, digital offers the potential to make our experience of the world better: enhancing people's lives, strengthening the delivery of public services and the work of government, as well as helping businesses to adapt to the future." – WG Digital Strategy for Wales 2021

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*"We are critically dependent on the Internet. However, it is inherently insecure and there will always be attempts to exploit weaknesses to launch cyber-attacks. This threat cannot be eliminated completely, but the risk can be greatly reduced to a level that allows society to continue to prosper, and benefit from the huge opportunities that digital technology brings"* - National Cyber Security Strategy 2016-21

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*"The option now available to organisations such as ourselves is to move our systems into the Cloud. Whilst clearly there are transition costs involved in moving any ICT infrastructure, the lower costs of Cloud based services mean that savings will be realised in a fairly short term after the move."* - Welsh Government ICT Strategy 2018-21

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## What it means?

- Greater investment in technologies to prevent cyber based attacks on Council information and data systems which could be extremely costly and render the Authority unable to undertake vital functions. We will continually evaluate the market and engage with vendors to ensure we are deploying the latest in cyber defence in all areas of our Infrastructure.
- Comprehensive testing of our Disaster Recovery procedures to ensure we can restore systems and services effectively and rapidly in line with service needs in the event of a major disaster effecting either of our core Data Centres in Carmarthen or Ammanford.

We will design, plan, test and evaluate our DR functions and capabilities across both data centres to ensure we have robust recovery plans in place.

- The rapid deployment of cloud-based solutions for the provision of key ICT systems such as payroll and ResourceLink should the offer provide significant scope for efficiencies, cost savings and productivity.

## Why is it important?

- The organisation's data is an extremely valuable asset. Just as we store our finances in a secure vault at a bank, we need to ensure our data is store in the most secure, resilient, and safe infrastructure as possible.
- We have invested heavily over the previous 3 years in updating our aging data centres to the latest technologies, designing resilience in at every stage. It is vital that we now test in the event of a disaster to ensure services and systems can be bought back as efficiently as possible.
- Cloud allows greater flexibility and rapid deployment of new services in a more efficient, sustainable and scalable manner.
- It will facilitate increased collaboration and provide a means for improved sharing of data and systems.
- It will allow staff to work from the best possible locations from several various platforms as required, in a safe and secure manner.

## How will we achieve a secure, resilient and cloud ready approach?

- In every future technology refresh or adoption, we will consider the cloud option, unless there are significant and compelling reasons to deviate.
- We will create, evaluate and scrutinise business cases for all significant cloud migrations to ensure best value for the organisation.

## Resilient Data and Voice Network (1 of 3)

### What it means?

- Our local and wide area networks, internet feeds, telephony and unified communications systems underpin communication across the organisation and with partners.
- Our already significant and sophisticated network provides the ability to communicate, collaborate and share data, systems and services.

### Why is it important?

- Data and voice network connectivity and internet access are critical in delivering 21<sup>st</sup> century citizen services.
- The demand on our bandwidth and internet connectivity channels from corporate services, schools and partners has grown rapidly. We fully expect this demand to increase in the coming years.
- Our network is the foundation of everything we do in terms of technology. Without it departmental, schools and partner systems and services simply would not function.
- We already have both central and departmental systems and services in the Cloud. Our network is the vehicle that allows us to access those, now and in the future.

### How will we achieve resilient data and voice networks?

- Dynamically develop and advance our already complex and sophisticated network technology to ensure our network capabilities continue to be fit for purpose.
- Virtualize and consolidate our voice systems to provide enhanced functionality, increased resilience and significant cost efficiencies.
- Enhance our connectivity to all Wales Public Sector network (PSBA), exploit its full potential as a foundation for collaboration, and utilize shared Cloud services across Wales via that medium.
- Provide truly resilient internet connectivity for corporate, schools and partners.

Key Projects	Key Outcomes	2022	2023	2024	2025
Implement Cyber Security Recommendations	Continue to act upon cyber security recommendations from in-house scans and from trusted partners in order to secure our on-premises and cloud infrastructure.				
PSBA Network Redesign	Work with PSBA to optimise our network for better performance and resiliency.				
Internal Network Redesign	Alongside the PSBA redesign we will be improving our internal network resiliency, key outcomes being resilient internet and internal network connections for all users/devices.				

## Modern Digital Workplace (2 of 3)

### What it means?

- Empowering our workforce to be as efficient and effective as possible in the right place, at the right time based on the needs of citizen service delivery.
- Facilitating a truly Modern Digital Workplace through the efficient and appropriate deployment of laptops, tablets, smartphones, productivity tools and technologies.
- Underpin any changes made to the way staff work as part of the 'Better Ways of Working'

### Why is it important?

- The workplace has and continues to evolve rapidly in terms of the tools and technologies users utilise daily.
- To ensure continuous improvement in workplace productivity we must evolve and keep pace.
- The technology most used in our offices, classrooms, meetings etc. can and should facilitate the aims and objectives of teams, divisions, departments and ultimately the organisation.

### How will we achieve a modern digital workplace?

- Transform our workforce's ability to be productive and to collaborate as individuals, teams and departments through the adoption of Cloud based secure productive environments.
- By ensuring our end-user devices are upgraded and updated in terms of hardware and software, providing users with the latest features and functionality.
- Deploying technologies that facilitate a truly agile approach to work, allowing users to connect, communicate and access resources from the most appropriate location in relation to their customers and services.
- By allowing users to securely utilize their own companion devices (tablets & Smartphones) for work through the provision of a voluntary "Bring Your Own Device" scheme.
- Enhance and transform traditional workplace practices through the deployment of innovative concepts and technologies such as the Internet of Things and Robotic Process Automation.



Key Projects		Key Outcomes		2022	2023	2024	2025
Council File Plan migration to Sharepoint	Migration of our local data repository to facilitate improved access to files and data, improved retention and governance functionality, decommissioning our on-premises data stores.						
Citrix Sharefile to Sharepoint Migration	Migration of our "Sharefile" environment which allows sharing of large files with external users to a dedicated Sharepoint site for improved collaboration.						
OneDrive Known Folder Move (Local Data Migration)	In addition to already migrating user homes, this work enables all user's local data to be backed up to the cloud, allowing them to collaborate and access their data from any corporate device.						
Unified Comms – rollout of Softphone technology	Improved communication and productivity for users previously tied to physical phones in the office or needing to use their mobile phone to take calls – removes the need for a physical phone and allows calls to be taken in any location from a corporate laptop or mobile.						
Konica Guest Printing	Configuration of a guest print environment to allow partner organisations to print in shared office locations.						
Carehome Wi-Fi Rollout	Upgrading all Carehomes and sheltered schemes to superfast fibre, configuring WiFi infrastructure in all locations to the specifications required.						
Microsoft Autopilot Device Provisioning	Allow remote deployment of laptop devices direct to customers, a smoother build process for ICT services staff and the ability for ICT Helpdesk staff to remotely wipe devices for users without a physical visit required.						
Service Delivery Improvement Plan	Transform Service Delivery and ICT helpdesk to adapt to the new ways of working. Improve self-help and remote support for customers and offer IT drop in visits when required.						
Microsoft Remote Desktop Services	Migration from Citrix to Remote Desktop Services in order to provide internal users with connectivity to bandwidth intensive applications and external users with secure remote access with MFA.						

## Secure and Resilient Data Centres (3 of 3)

### What it means?

- Ensuring our data, systems and services are hosted in the most efficient and appropriate location.
- Ensuring our data, systems and services are built and managed on the most efficient and appropriate platforms.

### Why is it important?

- Our Data Centres are the core of our business, housing our infrastructure, data, and applications. Without them, ICT simply would not function.
- The contents of our data centres are of extremely high organisational value in terms of physical assets, data, annual spend, organisational performance and service delivery.

## How will we achieve secure and resilient data centres?

- We will act responsibly, plan and be realistic in terms of systems that could potentially be migrated to the cloud.
- We will seek to upgrade our on-premises environment, platform and software to ensure we provide the greatest resilience possible to the Authorities services serving staff, members and citizens.
- We will consolidate servers, data and applications, improving overall performance through the adoption of the latest high-speed storage, making best use of technology and preparing us for cloud migration.
- We will seek efficiencies and compliance with GDPR and improve collaboration by migrating the Council’s file system to SharePoint Online.
- We will decommission all outdated systems and services, replacing them with existing and new technologies that are more efficient and effective for both users and ICT Services.

Key Projects		Key Outcomes	2022	2023	2024	2025
Expansion and evolution of Cyber Security capabilities	A more resilient and secure digital environment, increased testing and exercises will result in an improved response to a cyber security breach.					
Internal firewall replacement	Improved performance and security, ability to offer automated internet connectivity failover in the event of an outage.					
Review and update IT security policies and cyber security incident plan.	Review all existing policies to ensure they are up to date and meaningful, continue to improve our cyber security incident plan to improve our response in the event of an incident.					
Replacement of Barracuda SMTP appliance	Replace aging mail server infrastructure and migrate to cloud in order to offer a more resilient service for sending mail to customers.					
Test and document disaster recovery capabilities	Continue to improve upon existing disaster recovery plans, carrying out a series of annual tests including data centre power downs, simulated loss of internet connectivity, loss of “gold” systems.					
Multi Factor Authentication	Implementation of Multi Factor Authentication for all users with access to our Microsoft 365 environment in order to improve security and reduce the risk of unauthorised access to data.					

**PWYLLGOR CRAFFU POLISI AC ADNODDAU****02.02.22****ADRODDIAD MONITRO ABSENOLDEB SALWCH  
HANNER BLWYDDYN/CH2 2021/22****Ystyried y materion canlynol a chyflwyno sylwadau arnynt:**

Mae'r adroddiad hwn yn rhoi data absenoldeb i'r pwyllgor ar gyfer cyfnod Ch2 blwyddyn ariannol 2021/22 ynghyd â chrynodeb o'r camau gweithredu.

**Y Rhesymau:**

Mae'r Pwyllgor wedi gofyn am i adroddiadau blynyddol / hanner blwyddyn gael eu darparu i'w aelodau i'w galluogi i gyflawni eu rôl o ran craffu.

**Angen cyfeirio'r mater at y Bwrdd Gweithredol / Cyngor er mwyn gwneud penderfyniad:  
NAC OES**

**YR AELOD O'R BWRDD GWEITHREDOL SY'N DAL Y PORTFFOLIO: Y Cyngorydd  
Phillip Hughes**

<p><b>Y Gyfarwyddiaeth:</b> Prif Weithredwr <b>Enw Pennaeth y Gwasanaeth:</b> Paul R Thomas</p> <p><b>Awduron yr Adroddiad:</b> Ann Clarke</p> <p>Heidi Font</p>	<p><b>Swyddi:</b> Y Prif Weithredwr Cynorthwyol – Rheoli Pobl</p> <p>Partner Busnes Arweiniol (Adnoddau Dynol)</p> <p>Rheolwr Llesiant Gweithwyr</p>	<p><b>Rhifau ffôn:</b> 01267 246123 <a href="mailto:PRThomas@sirgar.gov.uk">PRThomas@sirgar.gov.uk</a></p> <p>01267 246167 <a href="mailto:alclarke@sirgar.gov.uk">alclarke@sirgar.gov.uk</a></p> <p>01267 246060 <a href="mailto:HFont@sirgar.gov.uk">HFont@sirgar.gov.uk</a></p>
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**EXECUTIVE SUMMARY  
POLICY AND RESOURCES SCRUTINY COMMITTEE  
02.02.22**

**Sickness Absence Monitoring Report - Half Year Report – 2021/2022**

The attached monitoring report has been produced for the Policy and Resources Scrutiny Committee who monitor attendance levels on a half yearly basis.

The report outlines the employee wellbeing support provided during the pandemic and an overview of departmental attendance levels for the first 6 month of financial year 2021/2022

The Authority's Performance Indicator (PI) for sickness absence measures the number of working days lost due to sickness absence per full time equivalent (FTE) headcount per annum. The target set by Corporate Management Team for improvement for 2021/2022 was maintained at 9.63 FTE.

In June 2017 departmental targets were also agreed to support a reduction in sickness absence and these targets will continue during 2021/22 as the last year is unrepresentative of normal sickness absence patterns. Performance indicates that two departments have met their Quarter 1 and Quarter 2 target.

**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:** Paul R Thomas Assistant Chief Executive, People Management

Policy, Crime & Disorder and Equalities	Legal	Finance	ICT	Risk Management Issues	Staffing Implications	Physical Assets
<b>Yes</b>	<b>None</b>	<b>Yes</b>	<b>None</b>	<b>None</b>	<b>Yes</b>	<b>None</b>

**1. Policy, Crime & Disorder and Equalities**

Management of sickness absence supports the strategic aim 'Feeling Fine – Health & Wellbeing

**2. Finance**

Related costs of overtime, replacement costs and sickness pay.

**3. Staffing Implications**

People Management continue to advise and support managers and employees through the sickness absence policy and procedures.

## CONSULTATIONS

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

**Signed:** Paul R Thomas Assistant Chief Executive, People Management

1. Scrutiny Committee n/a

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

EXECUTIVE BOARD PORTFOLIO  
HOLDER(S) AWARE/CONSULTED  
Yes

Include any observations here

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

# Policy & Resources Scrutiny Committee

## People Management: Sickness Absence Monitoring Report – Half year 2021/22



Enillydd  
Winner



2018

Celebrating 2 years of Disability Confident  
Working together to increase disability employment



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## People Management

### Sickness Absence Performance Monitoring Report

#### Half year 2021/22

##### Introduction

The Authority's Performance Indicator (PI) for sickness absence measures the number of working days lost due to sickness absence per full time equivalent (FTE) headcount per annum. The target set by Corporate Management Team for improvement for 2021/22 is 9.63 FTE.

In June 2017 departmental targets were also agreed to support a reduction in sickness absence and these targets have been maintained for 2021/22. Both the corporate and departmental targets are monitored half yearly via Corporate Management Team (CMT) and quarterly via Departmental Management Teams (DMT). The targets were calculated by reference to the average Full Time Equivalent (FTE) headcount figure and End of Year (EOY) results over the preceding 3 years less 5%.

##### What has changed during 2021/22 to date?

It is the responsibility of all DMTs to maintain a high profile on attendance management, monitor performance on a quarterly basis, to set clear expectations of all its managers to manage sickness absence proactively and to foster a healthy working environment that encourages improved attendance from all employees.

From a corporate perspective People Management has focused its energies to date during 2021/22 supporting in the following areas:

a. Attendance management during covid

For all concerned the covid recovery period continues to be a challenging period. Whilst the temporary covid sickness absence guide referenced in previous reports continues to be in operation and the focus is now on supporting employees who are managing long covid.

A joint long covid protocol has been agreed between the WLGA Executive Board and the trades unions of the Joint Council for Wales and is intended to cover all staff employed by local authorities in Wales under National Joint Council for Local Government Services.

Both employers and trades unions recognise the impact that long-covid has on employees. This is a new and debilitating condition to which remedies and treatment is still emerging and therefore, the full extent of its implications is not fully understood.

Currently, the numbers of staff affected are low and the employers and trades unions wish to support those individuals as best they can whilst further research is undertaken and there is a fuller understanding of the condition and how it is best managed medically and consistently with other conditions.

This interim protocol provides the basis for a consistent approach to manage those individuals diagnosed with long-covid and is consistent with other parts of the public service in Wales. It should provide reassurance and confidence that the issues of long-

covid and being managed in a sympathetic and supportive way and is wholly consistent with the approach advocated by ACAS.

#### Key elements

- There will be a temporary suspension of some elements of the sickness absence scheme for staff medically diagnosed as having long-covid.
  - The absence will still be regarded as sickness absence and should be recorded as such but the usual monitoring purposes which can lead to disciplinary action or dismissal will be suspended during the term of this protocol.
  - Manager/Supervisor contact and engagement with individuals will continue for supportive purposes.
  - Referral to Occupational Health Services will continue as a recognised route for support, advice and any therapies that the employer is able to offer, including psychological and emotional support that accompanies the physical ailments.
  
- Staff diagnosed with long-covid who can work, subject to medical advice, should have robust risk assessments undertaken and access to reasonable adjustments to support their ability to work.
  
- Consistent with practices in the (Welsh) NHS sector, local authorities will ensure that any employee who is on long term-sick with a diagnosis of long-covid will remain on full pay (regardless of their service) for the term of this protocol, at which point the position will be reviewed.

This interim protocol will be in place for a 6-month period to take effect from 16 July 2021 until 16<sup>th</sup> January 2022. It will be reviewed periodically in the light of emerging information and advice and only amended by joint agreement.

This interim protocol provides a period in which those staff diagnosed with long-covid can feel reassured and supported during a difficult and uncertain time. It will also provide the opportunity to further understand the size and scope of the issue, benefit from improving understanding of the condition and how best employers and trades unions can manage this issue in a consistent and sustainable way.

#### a. Health & wellbeing support during covid

The team continues to listen, adapt and respond to the constant and ever-changing nature of the pandemic. Reacting swiftly to ensure employees and managers alike are provided with the most up to date, supportive and appropriate information and resources to help them look after their own wellbeing.

### **Below is an overview of the work provided at a corporate level:**

- Submitted a bid for grant funding from the Welsh government which has been awarded. Funding will be utilised to appoint a Health and Wellbeing Assistant (6 months). This individual will assist in the provision of targeted wellbeing interventions and support for our social care colleagues, in conjunction with the Health and Wellbeing team.
- Inputted into the development of the corporate induction e-learning module.
- Inputted into the new Business Plan format to ensure the Health and Wellbeing implications are considered for each new project.
- Ongoing Health and Wellbeing input and advice provided on the “**Better ways of working**” project to ensure employees health and wellbeing are at the core of all project plans.
- Ongoing updates and development of our intranet pages to ensure appropriate advice, information and resources are provided
- Ongoing review of communications with the Media & Marketing department to ensure that all resources/ information provided are reaching all employees across the authority.
- Virtual and drop in events/e-chats on various health and wellbeing topics such as Time to change – My Mental Health Story, Stress, Menopause etc... with an average of 20- 30 staff in attendance.
- Continuation of the Corporate Health & Wellbeing Group Structure including a Corporate Strategic Health & Wellbeing Group, Departmental Groups, Schools Group and Champions Groups.
- Attendance and presentations delivered at various meetings/workshops from DMT’s to team level to promote relevant health and wellbeing support and resources. This is included H&S Leadership Board, Heads of Service, Adult Social Care, Environment People Manager’s plus many more
- Continuing to support and raise the profile of the network of over 70 health and wellbeing champions corporately and the recruitment of at least one champion in each school.
- Ongoing support to all employees via the Health and Wellbeing contact form to ensure staff and managers have an interactive way to contact the team for advice and resources.
- Virtual Health & Wellbeing Fayre held virtual on the 29<sup>th</sup> of June – 16<sup>th</sup> July 2021; 15 sessions were run for staff on various health topics including “My Mental Health Story” delivered by our Health and Wellbeing Champions, Actif Anywhere taster sessions from the Actif team, mindfulness minute/taster session, Making Things Better, craft session, delivered by some of our very skilled makers within the authority. In total, 146 staff attended.
- Continual review of employee and departmental feedback to find key themes for promotions
- Over 26 topic-specific articles produced and communicated via the intranet’s latest news bulletin and weekly staff news emails

Below we show a breakdown of some of the specific priorities, activities and interventions that we have undertaken during this time.

### **Corporate Health & Wellbeing Groups**

- Environment H&W group has met 3 times, discussing the H&W Survey results and determining key actions which have been agreed by the Director and presented at the

People Managers event. These will be presented to staff as 'You said, we did'. Some actions are already underway.

- Communities have held 3 Health, Safety & Wellbeing Group meetings, discussions have included issues around back-to-back meetings and meetings out of core hours.
- Corporate Services have met twice, with the main topic being agreeing and designing a Corporate Services H&W Survey.
- Chief Executives have been briefed on the Health & Wellbeing Framework and are in discussions regarding most appropriate staff members to form the departmental health and wellbeing group.
- Education H&W group were formed, and meetings have been held. Terms of reference have been agreed. The group mutually agreed the benefits of meeting free periods particularly due to home working and increased screen time, following this, an options paper was taken to DMT where it was identified that a corporate approach to this was required.
- Schools group was developed from an existing Headteacher focus group, which will evolve to cover the departmental group remit.
- All corporate outcomes are fed up to the Strategic Corporate Health and Wellbeing group where solutions are formulated. The team are currently in discussions with IT with regard to pop ups encouraging breaks through the day, taking lunch time, avoiding back-to-back meetings etc.

### **Health & Wellbeing Champions**

- Continuation of Health & Wellbeing Champion recruitment; now in excess of 70 Champions throughout the authority and a network of School H&W Champions (85) Microsoft Teams group created for regular and convenient communication with Champions
- Regular monthly virtual meetings run to keep Champions up to date with the latest support and resources, events, promotions and activities etc. Sharing of good practice and ideas, discussion of wellbeing concerns.
- Training for new Champions organised and delivered in October 2021
- Refresher/update training for all Champions organised and will be delivered in November 2021
- The launch of the Health & Wellbeing Champion buddy system in which experienced Champions can guide newer Champions through the role and mentor them.
- New twice monthly drop-in sessions for Champions to discuss ideas and share good practice.
- Ongoing development of our Health and Wellbeing Champions intranet pages.
- An online Bitesize training for Champions is being developed with Learning and Development for Champions in both schools and the authority.

### **Mental Health Awareness and Support**

Due to COVID 19 the corporate funding was extended for the post of Health and Wellbeing Coordinator (Mental Health) to ensure we were able to continue providing robust and resilient support. Particularly in light of the current and ongoing situation which has had a detrimental impact on mental health and wellbeing.

Below outlines the work and support the team have provided in relation to the mental health and wellbeing of staff:

- Continuing to raise the profile of mental health and reduce the mental health stigma across the Authority through articles, e-chats, anti-stigma talks, attendance at senior meetings etc...
- Collaborative work with the provider of our Mental health first aid course to ensure it is tailored to Carmarthenshire County Council employees.
- Ongoing coordination and promotion of our Mental Health first Aider training.
- Within Q1/Q2 we have trained 30 MHFAs across all departments within the Authority, with further courses arranged for later in the year.
- To date 310 staff have attended Mental Health Awareness courses and 152 Managers/ Head teachers have received Positive Mental health in the workplace training. These courses are currently under review and we will look to roll further sessions out to staff into the new year.
- We hope to roll the programme out across all Carmarthenshire schools in the new year
- Development of support, update training and drop-in sessions for our Mental Health first aiders network to ensure they are supported and equipped to deliver high quality support.
- Review of our Management of Mental Health policy to support managers and staff
- Drop-in sessions for Head Teachers to promote the support and resources available, particularly within the areas of stress and mental health
- Continuous review of external mental health resources, e-learning, webinars, guidance etc. to ensure staff are appropriately signposted
- The Mental Health in the Workplace eLearning module is currently under review in order to ensure we are providing the most appropriate/ supportive and up to date information for all staff.
- Attendance at various departmental meetings to promote relevant Mental health and wellbeing support and resources
- Ongoing promotion of Personal Resilience e-learning module
- Time to Change Wales Employee Champion training delivered to a group of existing Health and Wellbeing Champions
- Continuous review of mental health support and resources intranet pages
- Ongoing promotion of relevant mental health awareness raising days, events and promotions

### **Better Ways of Working:**

- Fed into format for discussions with HoS
- Fed into managers template for discussions with their staff to include a wellbeing checklist
- Interior design pilot
  - Researched and put together a report on interior design in offices and wellbeing
  - Feeding into the design pilot areas with regards to wellbeing – Ty Elwyn & Eastgate
- Sustainable Travel pilot
  - Working in conjunction with Property in relation to staff wellbeing facilities (toilets and showers) for Spilman Street, as part of the sustainable travel pilot

## **Targeted**

### **Environment**

- H&W survey analysed, and results presented to the H&W Group and all Heads of Service. Priority actions developed with H&W group for the department as a whole, which were presented to managers at the People Managers Conference.
- Planning
  - Working with the HOS and H&W reps to undertake further actions and determine new priority actions.
- Environment are continuing their yoga sessions virtually for staff.

### **Communities**

- Dom Care
  - Working with Dom Care to support staff. Wellbeing leaflet and business card created for digital distribution.
- Business Support
  - Actions drafted following H&W survey. Priority actions determined including a wellbeing 'away day' (virtual) which is planned for Nov/Dec
- Residential Care
  - Wellbeing leaflet and business card produced and distributed to staff
  - Met with catering staff to discuss their wellbeing
- Adult Social Care
  - Planning facilitated support sessions before Christmas and peer to peer support network after
  - Action plan for social care staff being developed for the additional support and interventions up until March 22.

### **Corporate Services**

- Corporate Services Health & Wellbeing Group agreed to release a Health & Wellbeing Survey which is currently with staff to be completed.

### **Schools**

- The Health and Wellbeing Champions scheme has commenced in schools, Over 70 schools have nominated a Health and Wellbeing Champion, with larger schools nominating multiple Champions, taking the total number to 85 across Carmarthenshire schools.
- Bitesize training is being developed for Schools Champions.
- Wellbeing focus group set up to input into the support developed for HTs Wellbeing
- Ongoing development of Internal Headteacher Peer Support Network created – 35 Headteachers are partaking in weekly sessions-
- Chair of Governors received training specifically on supporting HT's wellbeing
- A document containing an overview of all the support available for Headteachers has been drafted and will be sent out to Headteacher's in November 2021.
- Wellbeing sessions for Headteachers are being coordinated and will launch in the new year.
- The Headteacher Wellbeing Charter has been drafted and will be presented at the next Headteacher's meeting for review.
- A targeted approach to Health and Wellbeing in schools is being established.

- Coaching opportunities available from Learning and Development is being offered to Headteacher's as well as 1:1 supervision.
- The partnership with Education Support will be launched in the new year. This includes the support available from ESP as well as the launch of the Health and Wellbeing Champions in schools and Mental Health First Aiders.

b. Review of the Sickness Absence Policy and Procedures

The Sickness Absence Policy has been reviewed and consulted in conjunction with a wide range of people managers, our recognised trades union representatives and departmental management teams. This was formally adopted via Executive Board Member in Spring 2020 but due to the covid emergency the launch was delayed. In September 2021 the revised policy was formally launched supported by learning and development modules for people managers and refreshed resources on the Authority's [intranet](#).

c. Resourcelink Reporting Service (RRS) and other reporting developments

This tool provides the facility for all users to run reports direct from My View (our online employee system). The reports are available to Managers on demand. Attendance management information is an essential part of the suite of reports that are available via this system. It provides a valuable additional source for sickness absence data to supplement our performance management information.

A "live feed" has also been developed. This provides a snapshot of all absences for the current day and is updated on an hourly basis. Access has so far been limited to key officers and Heads of Service and should provide an additional useful source of management information.

d. Schools' Staff Absence Scheme (SSAS)

As at 1 April 2021 there are currently 89 participating primary schools compared to 60 original entrants in 2017/18, 78 during 2018/19, 87 during 2019/20.

The level of financial cover has been increased following consultation with participating schools, as follows:

- The daily rate for teachers has increased from £120 to £160 per day;
- The maternity lump sum for teachers has increased from £3000 to £4000;
- The daily rate for teaching assistants, support staff has increase from £50 to £70 per day
- The maternity lump sum for teaching assistants, support staff has increased from £1500 to £2000

e. Performance management information

Maintained the provision of improved performance management information, benchmarking and ranking data, and summaries of main reasons for absence at an authority, departmental, divisional and team level, all school, primary, secondary and special school level to inform CMT, DMTs, BMT's and Governing Bodies to enable improved performance monitoring and action planning.

HR Business Partners continue to discuss performance management information at Departmental Management Teams, Primary and Secondary Head Teachers' meetings and offer support and advice on appropriate actions for improvement.

f. Vaccination Tactical Group

This group consists of key Heads of Service, Senior Managers and Strategic Advisors. It defines internal policy and guidance for the Coronavirus vaccine roll out and the flu vaccine rollout. Following latest WG guidance, the group positively communicates and advises on key messages.

During the initial period of the pandemic, staff that had been furloughed were redeployed to the mass vaccine centres to support the logistics.

Has this made a difference?

Table 1: Departmental performance ranking Q2 2021/22

Performance indicates that all departments have met their 2021/22 Q2 target.

The Q2 figure for the whole Authority of 4.43 is above the 2020/21 Q2 result of 3.37 but below Q2 2019/20 result of 4.62. There has been an increase of 1.1 FTE days lost by average employee FTE headcount. Covid sickness absence accounts for 0.13 FTE days lost.

Other covid related absence is split into two categories: 1) staff that are absent from the workplace due to a covid related reason, e.g. self-isolation required, are fit to work and able to continue working from home and 2) staff that are absent from the workplace due to a covid related reason and are not able to undertake their work from home, e.g. care worker (see Table 1).

Department	Average Employee FTE Headcount	Short Term Lost FTE Days	Long Term Lost FTE Days	Total Lost FTE Days	FTE Days Lost by Average Employee FTE Headcount	Ranking	2020/21 Q2 Performance		20-21 Target. Targets remain unchanged from 2017-18. (Q2 =whole year target /4 & seasonally adjusted)		
Corporate Services	200.6	215.9	42.0	257.9	1.3	1	1.9	-0.6	6.3	2.9	Yes
Education & Children	416.6	551.5	579.9	1131.4	2.7	2	3	-0.3	6.9	2.8	Yes
Chief Executives	3224.1	5695.6	6467.1	12162.7	3.8	3	2.7	1.1	9.0	3.7	Yes
Environment	913.4	1736.3	3266.0	5002.3	5.5	4	3.4	2.1	11.2	4.6	No
Communities	1432.3	3110.3	5760.4	8870.7	6.2	5	5.3	0.9	11.6	4.8	No
<b>Authority Total</b>	<b>6187.0</b>	<b>11309.6</b>	<b>16115.4</b>	<b>27425.0</b>	<b>4.43</b>		3.37	1.1	9.63	4.00	No

<b>Q2 2021/22</b>	<b>6084.1</b>	<b>5570.2</b>	<b>14931.3</b>	<b>20501.5</b>	<b>3.37</b>
Difference		<b>5739.4</b>	<b>1184.1</b>	<b>6923.5</b>	<b>1.1</b>
		<b>103.0%</b>	<b>7.9%</b>	<b>33.8%</b>	

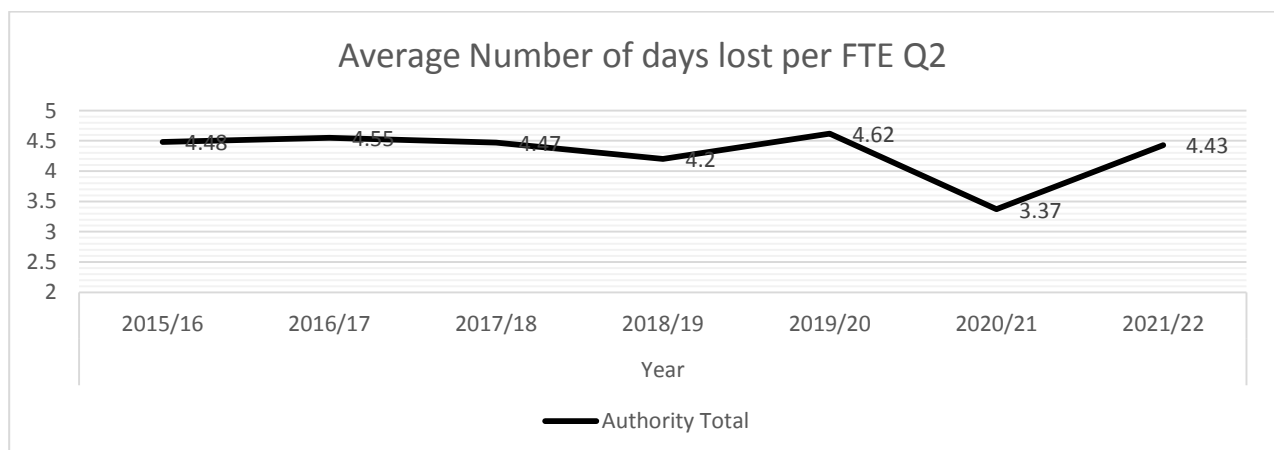
Coronavirus absences - Sickness	6,187.0	454.6	320.3	774.9	0.13
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Sickness excluding Coronavirus Sickness	6,187.0	10,855.0	15,795.1	26,650.1	4.31	PI excluding Coronavirus Sickness
Coronavirus absences - Other Absences (NOT SICKNESS) <b>Homeworking</b>	6,187.0	1,415.92	136.10	1,552.02	0.25	
Coronavirus absences - Other Absences (NOT SICKNESS) <b>Non-Homeworking</b>	6,187.0	1,125.72	9.51	1,135.23	0.18	
Total Coronavirus absences - Other Absences (NOT SICKNESS)	6,187.0	2,541.6	145.6	2,687.2	0.43	This includes both homeworking and non-homeworking
All Coronavirus absences	6,187.0	2,996.2	465.9	3,462.1	0.56	

**Table 2: Average number of days lost per FTE – whole Authority**

Following the launch of the Sickness Absence policy in 2015 and targeted interventions there was a marked reduction in 2014/15 (not shown on graph). Since then, the trend line indicates an annual increase in 2015/16 and 2016/17 but a slight decrease in 2017/18. The Q2 2018/19 was the best level achieved since 2014/15. However, the 2019/20 result indicated an upward trend compared to the last 3 reporting years. In stark contrast Q2 2020/21 showed a significant decrease in absence levels. The cause of this may be attributed to the impact of the Coronavirus pandemic – school closures and working from home has contributed to the decrease in short term sickness absence levels (a decrease of 46% compared to the same time last year). The 2021/22 Q2 figure indicates a return to pre covid levels, the level of short-term sickness has increased in particular (an increase of 103% compared to the same time as last year). The cessation of the covid shielding measures will have impacted on this figure. The Absence Team has been proactive in supporting managers and teams with absence recording. The levels of other covid absences and the proportion of which were homeworking is possible should also be considered when analysing this data.



**Table 3: Impact of targeted interventions to support schools in managing sickness absence**

The table below compares the performance of CCCs primary, secondary and special schools between Q2 2019/20, 2020/21 and 2021/22. Schools closed during the national lockdown on 23<sup>rd</sup> March and re-opened at the start of the September 2020 term. During the closure the

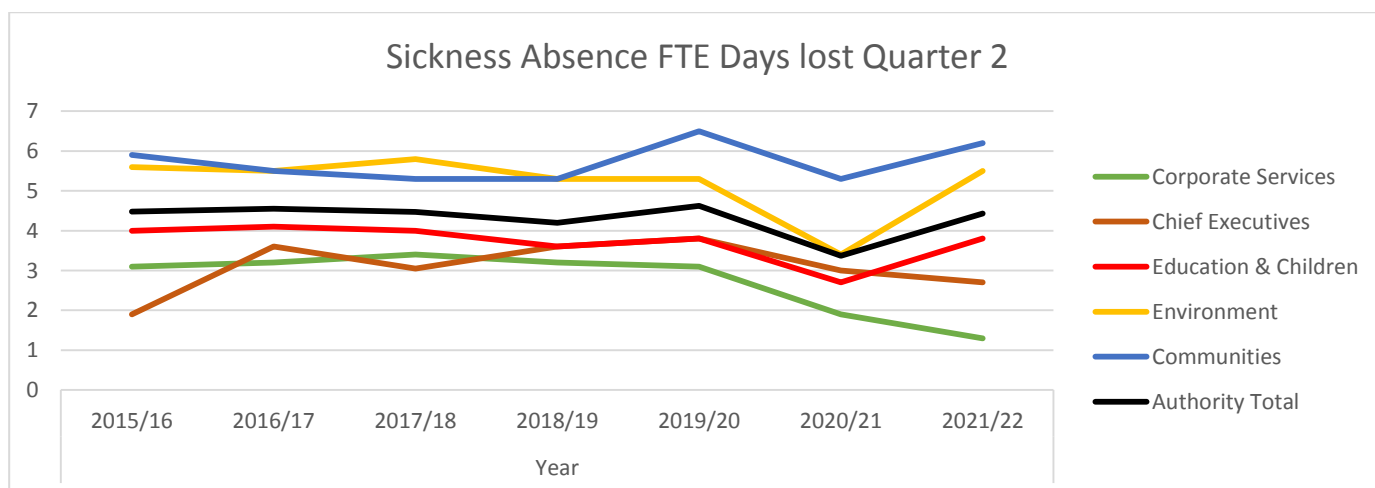
County opened cluster school hubs to support vulnerable and key worker children and continued with remote learning for all other pupils. Staff were deployed from the catchment schools to support the school hubs. The People Management Division continue to support schools during 2020/21.

Division	2019-20 Q2 FTE days lost by avg FTE	2020-21 Q2 FTE days lost by avg FTE	2020/21 Q2					Difference (YR ON YR 20/21 TO 21/21)
			Employee FTE	Short Term Lost FTE Days	Long Term Lost FTE Days	Total Lost FTE Days	FTE Days lost by Employee FTE	
Secondary Schools	3.8	2.3	1038.7	1789.50	1565.60	3355.1	3.2	0.9
Primary Schools	3.5	2.5	1264.7	1957.80	2311.20	4269.0	3.4	0.9
Special Schools	5.5	3.0	88.3	267.90	117.40	385.3	4.4	1.3

**Table 4: Departmental Analysis**

When departmental performance is compared to that of the previous year (Table 1) the level of sickness absence has reduced in 2 Departments and increased in 3, the most significant increase being in the Environment department

Quarter 2	Year						
Department	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	2021/22
Corporate Services	3.1	3.2	3.4	3.2	3.1	1.9	1.3
Chief Executives	1.9	3.6	3.1	3.6	3.8	3.0	2.7
Education & Children	4.0	4.1	4.0	3.6	3.8	2.7	3.8
Environment	5.6	5.5	5.8	5.3	5.3	3.4	5.5
Communities	5.9	5.5	5.3	5.3	6.5	5.3	6.2
<b>Authority Total</b>	<b>4.48</b>	<b>4.55</b>	<b>4.47</b>	<b>4.2</b>	<b>4.62</b>	<b>3.37</b>	<b>4.43</b>



The service areas with the greatest variance (decrease - /increase +) compared to Q2 2020/21 are:

Department	Division	Difference
Chief Executives	Media and Marketing	-2.8
Corporate Services	Revenues and Financial Compliance	-2.4
Education & Children	Curriculum & Wellbeing	3.3
Environment	Business Support & Performance	3.9
Education & Children	Access to Education	4.8
Communities	Commissioning	4.8

\* Service areas listed above are those with over 50 FTE

**Table 5: Cost of Absence**

The table below illustrates the cost of occupational sick pay for Q1 to Q2 cumulatively in each year since 2019/20. This excludes additional costs that may be incurred by divisions in particular those delivering e.g., Overtime costs, agency costs, other replacement costs.

<b>Occupational Sick Payments (OSP)</b>			
<b>Quarters 1 and 2</b>	<b>Year</b>		
<b>Department</b>	<b>2019/20</b>	<b>2020/21</b>	<b>2021/22</b>
Corporate Services	48,816	43,049	23,452
Chief Executives	159,309	115,889	115,634
Education & Children*	1,443,728	867,574	1,429,034
Environment	424,793	278,715	447,670
Communities	862,485	725,914	977,791
<b>Authority Total</b>	<b>2,939,131</b>	<b>2,031,141</b>	<b>2,993,582</b>

\* Including schools

**Table 6: Occupational Health Appointment Data**

**Fig.1**

<b>Number of Employees seen at the Occupational Health Centre</b>			
<b>Department</b>	<b>Number of Employees Attended Q2 Cumulative</b>		
	<b>2019/20</b>	<b>2020/21</b>	<b>2021/22</b>
Chief Executives	46	27	38
Communities	305	238	333
Corporate Services	26	29	8
Environment	389	164	339
Education & Children	281	240	261
External	281	122	196
<b>Total</b>	<b>1325</b>	<b>820</b>	<b>1175</b>

The table above indicates the number of employees being referred and supported by the Occupational Health Centre. Each employee will attend at least one appointment with either the Occupational Health Advisor or Physician. Depending on the recommendations made, a proportion will be offered a further referral for an Initial Assessment to the Wellbeing Support Service and supported using a range of interventions and strategies which may include: CBT / CBT informed approach, counselling/active listening, coping skills and problem solving. If they are accepted to the service, they are then offered up to a further 6 sessions (these further sessions/appointments are not included in the table below above).

The totals include Statutory Health Surveillance appointments to the nurse.

As can be illustrated by the data above (Fig.1) there has been a 43.2% increase in the total number of employees seen at the Centre in Q2 2021/22 compared to Q2 2020/21. This is likely due to the restrictions that were in placed on the service due to the COVID 19 Pandemic being lifted to allow Face to face medicals to resume following Gold command sign off on 01.12.2020.

During the period between April 2021 and October 2021 Occupational Health has provided appointments to 14.7 % of employees based on the Full time Equivalent headcount (October 2021).

*New Employment Questionnaire screens and Night Worker Questionnaire screens by the nurse are not included in the totals. Teachers' pension administration by the practitioners are also not included.*

**Fig.2**

<b>Number of Appointments Attended at the Occupational Health Centre</b>			
<b>Department</b>	<b>Number of Appointments Q2 Cumulative</b>		
	<b>2019/20</b>	<b>2020/21</b>	<b>2021/22</b>
Chief Executives	127	107	109
Communities	615	649	705
Corporate Services	71	95	23
Environment	546	267	458
Education & Children	768	848	819
External	359	147	273
<b>Total</b>	<b>2486</b>	<b>2108</b>	<b>2387</b>

The table above indicates the total number of Appointments attended at the Occupational Health Centre. These further sessions referenced above **are** included in the table above (Fig.2).

The totals include Statutory Health Surveillance appointments to the nurse.

As can be illustrated by the data above (Fig.2) there has been a 13.2% increase in the total number of appointments to the Occupational Health Centre during cumulative period Q1 – Q2 2021/2022 compared to 2020/21.

These increased numbers are a positive sign and likely due to the resumption of services across the authority. A large proportion of the increase is also likely due to our Health Surveillance programme, which restarted face to face mandatory medicals in December 2020. Following risk assessment, this Service recently resumed in its entirety (Excluding the Physical Aspect of Spirometry testing) which has seen a further increase in attendance.

In comparison to 2019/2020 (Pre Covid) appointments are down 4% (Approx). However, based on knowledge of previous years we are optimistic that the number of appointments at the Occupational Health Centre will increase further, in line with the support required by the authorities' employees.

**Appointments Attended – Reason breakdown:**

Figures 3, 4 and 5 below show a breakdown of the reasons by number of employees that have attended the Employee Wellbeing Centre.

**Fig. 3**

The tables below show the breakdown of total number of Appointments attended at the Occupational Health Centre for Q2 cumulative over the last 3 years.

The total number of appointments are gradually increasing, which is likely due to further ease in restrictions since August 2021. Since that time, we have been able to reintroduce Health Surveillance in its entirety (excluding the physical aspect of Spirometry), which has increased engagement with management and in turn attendance.

<b>Breakdown: Total Number of Appointments Attended the Occupational Health Centre</b>						
<b>Q2 Cumulative</b>						
<b>2019/20</b>						
<b>Department</b>	<b>Appointment Reason</b>					
	<b>OHA</b>	<b>OHP</b>	<b>All WSS Appts (274 Individual Employees)</b>	<b>H/S</b>	<b>*Other</b>	<b>Totals</b>
Chief Executives	21	9	92	0	5	<b>127</b>
Communities	136	62	387	7	23	<b>615</b>
Corporate Services	11	5	53	0	2	<b>71</b>
Environment	53	49	180	258	6	<b>546</b>
Education & Children	111	54	590	0	13	<b>768</b>
External	121	60	92	69	17	<b>359</b>
<b>Total</b>	<b>453</b>	<b>239</b>	<b>1394</b>	<b>334</b>	<b>66</b>	<b>2486</b>

**OHA – Occupational health Advisor**

**OHP – Occupational Health Physician**

**WSS – Wellbeing Support Services (mental health)**

**H/S – Health Surveillance (statutory medicals)**

**Other – e.g.** Chair Assessments, Ill Health Retirement Appointments with the pensions doctor, Case Conference

**Fig.4**

<b>Breakdown: Total Number of Appointments Attended the Occupational Health Centre</b>						
<b>Q2 Cumulative</b>						
<b>2021/22</b>						
<b>Department</b>	<b>Appointment Reason</b>					
	<b>OHA</b>	<b>OHP</b>	<b>All WSS Appts (205 Individual Employees)</b>	<b>H/S</b>	<b>*Other</b>	<b>Totals</b>
Chief Executives	9	2	94	0	2	<b>107</b>
Communities	96	65	475	0	13	<b>649</b>
Corporate Services	11	4	76	0	4	<b>95</b>
Environment	55	20	121	68	3	<b>267</b>
Education & Children	108	40	689	0	11	<b>848</b>
External	67	34	34	2	5	<b>147</b>
<b>Total</b>	<b>346</b>	<b>165</b>	<b>1489</b>	<b>70</b>	<b>38</b>	<b>2108</b>

**Fig.5**

<b>Breakdown: Total Number of Appointments Attended the Occupational Health Centre</b>						
<b>Q2 Cumulative</b>						
<b>2021/22</b>						
<b>Department</b>	<b>Appointment Reason</b>					
	<b>OHA</b>	<b>OHP</b>	<b>All WSS Appts (272 Individual Employees)</b>	<b>H/S</b>	<b>*Other</b>	<b>Totals</b>
Chief Executives	13	12	83	0	1	<b>109</b>
Communities	143	85	457	12	8	<b>705</b>
Corporate Services	3	1	19	0	0	<b>23</b>

Environment	50	30	147	231	0	<b>458</b>
Education & Children	118	38	645	1	17	<b>819</b>
External	71	89	75	26	12	<b>273</b>
<b>Total</b>	<b>398</b>	<b>255</b>	<b>1426</b>	<b>270</b>	<b>38</b>	<b>2387</b>

*\*These appointments include: Chair Assessments, Ill Health Retirement Appointments with the pensions doctor, Case Conference*

As can be seen from the above charts, all appointment types have increased on the previous year excluding our Wellbeing Support Service Appointments which have decreased by 4.2%. Although the overall total has decreased on the previous period, when broken down into the number of employees supported by the Wellbeing Support service, this has increased by 32.7%, which is an indication that employees are requiring fewer sessions of support

OH are closely monitoring referrals to the service and the projected impact on the service, in line with the pressure on primary care and other NHS services. We are already seeing an increase in GPs referring back to OH for mental health support for our employees, as waiting lists are high via primary care. We are also monitoring waiting time for NHS treatment and operations for employees, which will impact on their fitness to work and attendance.

## Percentage of employees who have attended Occupational Health in Q1-Q2

Following the request from P&R scrutiny committee the following table below shows the percentage breakdown of employees that have attended the Occupational Health Centre per department.

Percentages are based on overall headcount (October 2021)

Department	OHA %	OHP %	Wellbeing Support Service (Initial Assessment) %	Health Surveillance %	Other %	Total %
Chief Executives (413.42)	3.1	2.9	2.9	0	0.2	9.1
Communities (1443)	9.9	5.8	7.4	0.8	0.6	24.5
Corporate Services (199)	1.5	0.06	2.0	0	0	3.56
Environment (906)	5.5	3.3	3.2	25.5	0	37.5
Education & Children (3243)	3.6	1.2	3.4	0.03	0.5	8.73

As shown in the above table the Environment department have the highest number of employees who attend Occupational Health, this is due to their mandatory Health Surveillance which employees are required to undertake based on risk assessment.

Without Health Surveillance, the Environment department have 12% of employees accessing our services for sickness absence reasons and support.

### Charged non-attendances

Below are the annual totals for Q2 cumulative which include all attended appointments, charged cancellations and Did Not Attends (DNAs).

2019/2021 – 2758

2020/2021 – 2274

2021/2022 – 2614

Following the request from P&R scrutiny committee the following table below shows the breakdown of charged non-attendances per department, and the percentage in relation to the total number of appointments.

Department	2019/2020	2020/2021	2021/2022
Chief Executives	10	6	2



Communities	79	54	80
Corporate Services	5	3	2
Education & Children	84	45	57
Environment	36	10	68
External	39	9	18
<b>Grand Total</b>	<b>253 (9.17%)</b>	<b>127 (5.5%)</b>	<b>227 (8.6%)</b>

Charged non-attendances decreased significantly during the first stage of the pandemic by 49% (Approx.) this being likely due to furloughed/ shielding staff, as well as the stay-at-home message. With restrictions easing and the appointments increasing we have seen an increase in the most recent period by 78%. Although significantly higher, this remains lower than Q2 2019/2020.

*Examples of reasons for non-attendance – Staff shortages leading to non-attendances in Health Surveillance appointments, Individuals accepting appointments when they are not in confidential spaces or when safety is compromised (In company of others/ whilst driving).*

A message has been sent to all people managers to ensure that individuals understand the importance of accepting calls only when appropriate to do so.

**Table 7: Number of employees dismissed on the grounds of capability (health)**

Valuing our employees by supporting good health and wellbeing is one of the authority's core values. There is much research to demonstrate that attendance at work contributes to positive health and wellbeing. The authority aims to support its employees by providing a safe and healthy workplace and promoting a culture where regular attendance can be expected of all. Absence from work is unlikely to be a positive experience for the absent employee(s) or their colleagues, so the authority actively manages and supports those employees who experience ill health during their employment in line with its Sickness Absence Management policy.

However, there are occasions where an employee cannot be supported back to work to his/her substantive role or redeployed into suitable alternative employment due to the nature of the illness or condition and in such circumstances an employee will be dismissed on the grounds of capability (health). Table 7 below details the number of employees that have been dismissed on the grounds of capability (health) over the last three years:

	<b>2019/20 EOY</b>	<b>2020/21 EOY</b>	<b>2021/22 Q2</b>
Ill Health Capability	42	52	32
Ill Health Capability – Tier 1	20	1	1
Ill Health Capability – Tier 2	-	-	-
Ill Health Capability – Tier 3	1	1	-
Resignation – Health Reasons		3	1
<b>Total</b>	<b>63</b>	<b>57</b>	<b>34</b>

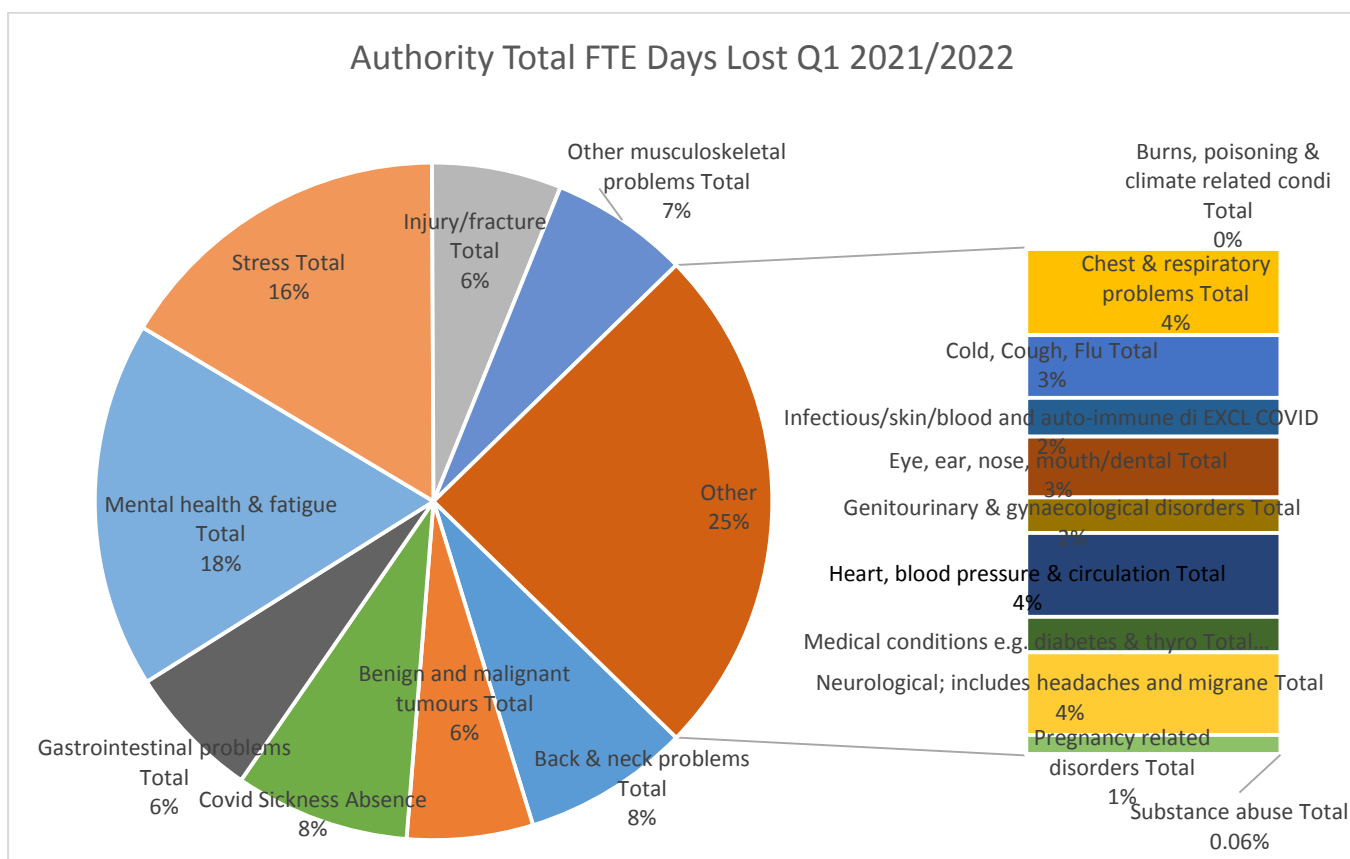
Quarter 2 figure indicates that end of year figure will be on a par with previous years (Q2 2020/21 was 30).

**Table 8: Causes of absence – half year cumulative Q2 EOY 2021/22**

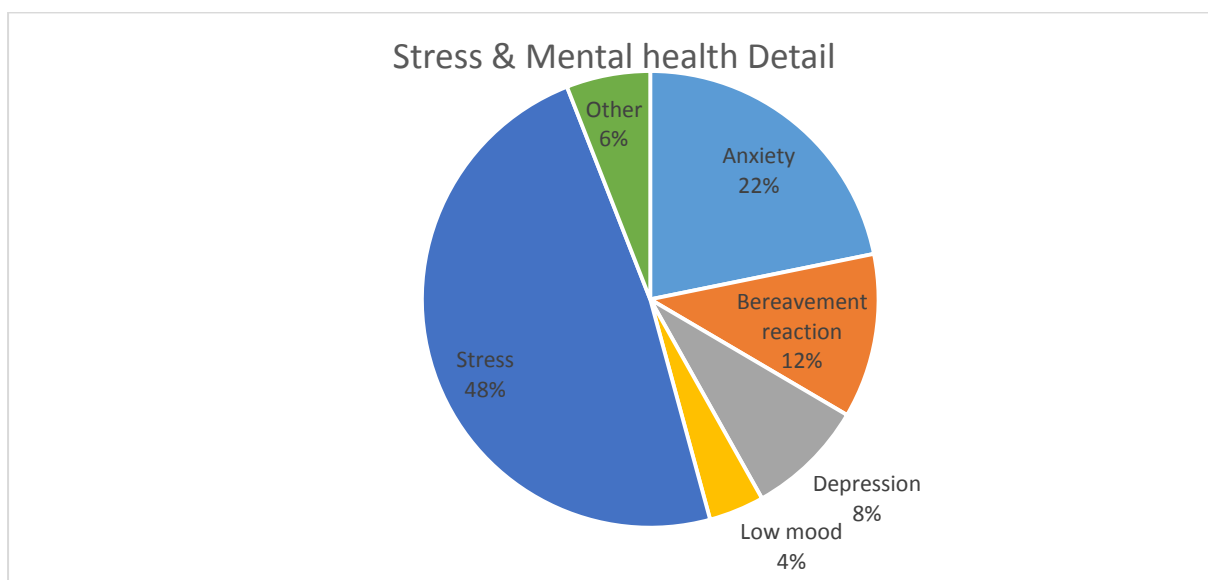
Mental health Stress is the most common cause of absence within the authority (18%) followed by stress (16%). Other reasons for absence are as detailed within the pie chart below and will vary from one reporting period due to seasonal variations.

The CIPD Health & Wellbeing at Work report published in May 2019 (latest available) focusing on the public sector has found that more organisations include mental health amongst the most common reason for short- and long-term absence. Over half of respondents confirmed that reported mental health conditions had increased. A fifth of respondents confirmed that stress and mental health is the primary cause of long-term absence and a third include stress in the top three causes of absence.

Whilst stress and mental health are the main causes of absence within CCC and an area of significant concern, the level of absence for this reason is comparable with other public sector organisations including health, education and civil service.



The percentages displayed below relate to the sub categories to the stress and mental health absence codes combined which accounts for 36% of all authority sickness absence. Of the 34% of sickness absence, stress constitutes 48%. (Stress is 16% of all sickness absence).



**Table 9: Comparative sickness absence performance indicator**

The Authority directly employs approximately 7,950 employees in a range of occupations including catering, cleaning, residential / domiciliary care, refuse and leisure services. In many of the local authorities listed below these services are contracted outside of the authority and therefore not included in the respective calculations. It should be noted that, according to benchmarking figures, these occupations generally have higher sickness absence rates either due to the physical nature of the work or being more susceptible to illness due to interaction with service users/customers.

It should also be noted that the actual make up of local government reported sickness figures can also vary considerably i.e. first 3 days removed, long term sickness removed; Carmarthenshire County Council include both.

All Wales Comparative benchmarking data for 2020/21 at the time of writing this report is yet to be published. There is a provisional publication date of December 2021.

The provisional sickness absence figure for Wales is 11.1 days/shifts lost per FTE due to sickness absence with LA data ranging between 6.3 and 11.7. Carmarthenshire EOY 2020/21 result was 7.71.

Full details from all Welsh authorities for **2019/20** is provided below:

Local Authority	All staff					Quartile
	Number of working days lost to sickness absence per employee					
	2015-16	2016-17	2017-18	2018-19	2019-20	
Denbighshire	8.5	8.7	8.4	8.3	8.1	1
Isle of Anglesey	12	9.8	10	10.3	8.8	
Pembrokeshire	-	10.5	10.2	9.3	8.9	
Powys	10.6	9	9.7	9.1	9.3	
Merthyr Tydfil	6.6	5.5	7.8	8.7	9.4	
Newport	10.1	9.8	10.1	10.1	9.5	2
Gwynedd	8.4	9	8.7	9.5	9.8	
The Vale of Glamorgan	9.6	8.8	10.1	9.1	10.5	
<b>Carmarthenshire</b>	<b>10.1</b>	<b>10.8</b>	<b>10.1</b>	<b>9.8</b>	<b>10.7</b>	
Flintshire	10.5	9.8	8.9	10.5	11	

<b>Wales</b>	<b>10.2</b>	<b>10.3</b>	<b>10.4</b>	<b>10.5</b>	<b>11.2</b>	
Ceredigion	-	10.4	13.6	10.9	11.4	3
Torfaen	10.1	10.8	11.1	11.2	11.5	
Cardiff	9.6	10.8	11.3	11.5	11.8	
Bridgend	10.7	10.7	10.8	11.9	11.9	
Conwy	10.3	11.3	9.7	10.1	12	
Caerphilly	11.7	12.2	12.3	11.3	12	
Neath Port Talbot	9.7	9.9	9.5	9.8	12.1	4
Wrexham	11.9	11.3	10.9	11.5	12.2	
Monmouthshire	11.6	11.5	10.9	11.5	12.2	
Swansea	10.2	9.7	10.8	11	13.1	
Blaenau Gwent	11.3	12.5	11.2	12.7	13.9	
Rhondda Cynon Taf	-	-	-	-	-	

### NHS Wales benchmarking data

Below is benchmarking data relating to 11 NHS organisations in Wales shown as a percentage. Data is extracted from the NHS Electronic Staff Record. Sickness absence rates by quarter for the period April 2020 to March 2021 and calculated by dividing the total number of sickness absence days by the total number of available days for each organization.

	Apr - Jun 2020	Jul - sep 2020	Oct- Dec2020	2020	Jan-Mar 2021
	%	%	%	%	%
<b>All Wales</b>	6.5	5.1	6.4	6.0	5.7
Betsi Cadwaladr University LHB	6.2	4.9	5.4	5.5	5.5
Powys Teaching LHB	4.9	4.4	5.1	4.9	4.8
Hywel Dda University LHB	5.4	4.6	5.5	5.2	5.3
Swansea Bay University LHB	8.4	6.2	8.3	7.4	6.6
Cwm Taf Morgannwg University LHB	7.5	5.6	8.5	7.0	6.3
Aneurin Bevan University LHB	6.5	5.1	6.2	6.1	5.5
Cardiff & Vale University LHB	7.0	5.1	6.0	6.0	5.9
Public Health Wales NHS Trust	3.0	2.6	3.6	3.5	3.5
Velindre NHS Trust	3.7	3.1	3.5	3.7	3.2
Welsh Ambulance Services NHS Trust	6.5	5.9	8.4	7.0	8.4
Health Education and Improvement Wales	1.3	1.2	2.7	2.0	1.8

[Table 10: Sector comparisons by percentage working time lost v FTE days lost](#)

XpertHR is a reference tool for HR professionals with information on compliance, legislation, best practice and benchmarking. It undertakes annual benchmarking exercises on sickness absence rates and costs, and focuses on absence figures according to industry, organisation size and sector.

The latest survey results conducted in 2019 was published in 2020 and approximately 146 employers participated from all industry sectors. 2020 data is pending publication and will be reported in 2021/22 EOY report once published.

Among the survey respondents that provided data on absence rates, the national average absence rate stood at 2.9% of working time in 2019, equivalent to 6.5 days per employee.

When broken down by sector survey respondents, the national average for the public sector stood at 3.3% of working time in 2019, equivalent to 7.5 days per employee and private sector stood at 2.9% of working time in 2019, equivalent to 6.6 days per employee.

In terms of Carmarthenshire, our Q2 2020/21 figure of 3.37 FTE days lost per employee as a percentage of working time lost is 3.14%. The Q2 2021/22 figure of 4.42 FTE days lost per employee equates to 4.06% as a percentage of working time lost.





Mae'r dudalen hon yn wag yn fwriadol



**PWYLLGOR CRAFFU POLISI AC ADNODDAU  
2 CHWEFROR 2022**

**EGLURHAD AM BEIDIO Â CHYFLWYNO ADRODDIAD CRAFFU**

**Ystyried y materion canlynol a chyflwyno sylwadau arnynt:**

- Ystyried yr eglurhad am beidio â chyflwyno adroddiad craffu.

**Rhesymau:**

- Mae'n ofynnol yn ôl Cyfansoddiad y Cyngor bod Pwyllgorau Craffu yn datblygu ac yn cyhoeddi Blaenraglen Gwaith sy'n nodi'r pynciau a'r adroddiadau sydd i'w hystyried yn ystod y blwyddyn. Os na chyflwynir adroddiad fel y'i trefnwyd, disgwylir i swyddogion baratoi eglurhad am beidio â chyflwyno adroddiad craffu sy'n egluro'r rheswm(au)pam.

**Angen cyfeirio'r mater at y Cabinet er mwyn gwneud penderfyniad: NAC OES**

**Yr Aelod Cabinet sy'n gyfrifol am y Portffolio:** Cyng. Jane Tremlett (Dirprwy Arweinydd); Cyng. David Jenkins (Adnoddau); Cyng. Peter Hughes Griffiths (Diwylliant, Chwaraeon a Thwristiaeth); Cyng. Ann Davies (Cymunedau a Materion Gwledig); Cyng. Emlyn Dole (Arweinydd); Cyng. Linda Evans (Tai)

**Awdur yr Adroddiad:**

Martin S. Davies

**Swydd:**

Swyddog Gwasanaethau  
Democrataidd

**Rhifau Ffôn / Cyfeiriad E-Bost:**

01267 224059  
MSDavies@sirgar.gov.uk

# EXECUTIVE SUMMARY

## POLICY & RESOURCES SCRUTINY COMMITTEE

### 2<sup>ND</sup> FEBRUARY 2022

### NON-SUBMISSION OF SCRUTINY REPORT

The Council's Constitution requires Scrutiny Committees to develop and publish an annual Forward Work Programme which identifies the issues and reports to be considered at meetings during the course of the year.

If a report is not presented as scheduled in the Forward Work Programme, the responsible officer(s) are expected to prepare a non-submission report explaining the reason(s) why.

DETAILED REPORT ATTACHED?	YES
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### IMPLICATIONS

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

**Signed: Linda Rees-Jones Head of Administration & Law**

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

### CONSULTATIONS

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

**Signed: Linda Rees-Jones Head of Administration & Law**

- 1. Local Member(s) – N/A**
- 2. Community / Town Council – N/A**
- 3. Relevant Partners – N/A**
- 4. Staff Side Representatives and other Organisations – N/A**

<b>CABINET MEMBER PORTFOLIO HOLDER AWARE / CONSULTED</b>	<b>YES</b>
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**Section 100D Local Government Act, 1972 – Access to Information  
List of Background Papers used in the preparation of this report:**

**There are none.**

**POLICY AND RESOURCES COMMITTEE**  
**2<sup>ND</sup> FEBRUARY 2022**

**Explanation for non-submission  
of scrutiny report**

<b>ITEM</b>	<b>RESPONSIBLE OFFICER</b>	<b>EXPLANATION</b>	<b>REVISED SUBMISSION DATE</b>
<b>TIC Update</b>	Paul Thomas	The report has been delayed to allow officers to prioritise covid related work.	To be confirmed
<b>PSB Minutes November</b>	Noelwyn Daniel	There hasn't been a PSB meeting to approve the minutes.	April 2022
<b>Environment Department Business Plan</b>	Rhodri Griffiths	The newly appointed shared role of Interim Director of Environment - Noelwyn Daniel and Ainsley Williams will require additional time to develop the Environment Department Business Plan to ensure it reflects their aspirations for the Department in 2022/23. They would like the opportunity to re-shape the plan to ensure it is strategically aligned to deliver the Well-Being Objectives within the approved Corporate Strategy.	April 2022

Mae'r dudalen hon yn wag yn fwriadol

**PWYLLGOR CRAFFU POLISI AC ADNODDAU  
2 CHWEFROR 2022**

**EITEMAU AR GYFER Y DYFODOL**

**Ystyried y materion canlynol a chyflwyno sylwadau arnynt:**

- Nodi'r eitemau ar gyfer y dyfodol i'w hystyried yng nghyfarfod nesaf y Pwyllgor Craffu Polisi & Adnoddau i'w gynnal ar 1 Ebrill, 2022.

**Rhesymau:**

- Mae'n ofynnol yn ôl Cyfansoddiad y Cyngor bod Pwyllgorau Craffu, ar dechrau bob blwyddyn y cyngor, yn datblygu ac yn cyhoeddi Blaenraglen Gwaith sy'n nodi'r pynciau a'r adroddiadau sydd i'w hystyried yn ystod y blwyddyn.

**Angen cyfeirio'r mater at y Cabinet er mwyn gwneud penderfyniad: NAC OES**

**Yr Aelod Cabinet sy'n gyfrifol am y Portffolio:** Cyng. Jane Tremlett (Dirprwy Arweinydd); Cyng. David Jenkins (Adnoddau); Cyng. Peter Hughes Griffiths (Diwylliant, Chwaraeon a Thwristiaeth); Cyng. Ann Davies (Cymunedau a Materion Gwledig); Cyng. Emlyn Dole (Arweinydd); Cyng. Linda Evans (Tai)

**Awdur yr Adroddiad:**

Martin S. Davies

**Swydd:**

Swyddog Gwasanaethau  
Democrataidd

**Rhifau Ffôn / Cyfeiriad E-Bost:**

01267 224059  
[MSDavies@sirgar.gov.uk](mailto:MSDavies@sirgar.gov.uk)

**EXECUTIVE SUMMARY**  
**POLICY & RESOURCES SCRUTINY COMMITTEE**  
**2<sup>ND</sup> FEBRUARY 2022**

**FORTHCOMING ITEMS**

The Council's Constitution requires Scrutiny Committees, at the commencement of each municipal year, to develop and publish a Forward Work Programme which identifies the issues and reports to be considered at meetings during the course of the year. When formulating the Forward Work Programme the Scrutiny Committee will take into consideration those items included on the Cabinet's Forward Work Programme.

The list of forthcoming items attached includes those items which are scheduled in the latest version of the Policy & Resources Scrutiny Committee's Forward Work Programme [attached] to be considered at the next meeting, to be held on 1<sup>st</sup> April, 2022.

Also attached for information is the 2021/22 Forward Work Programmes in respect of the Cabinet.

<b>DETAILED REPORT ATTACHED?</b>	<b>YES:</b> (1) List of Forthcoming Items (2) P&R Scrutiny Committee Forward Work Programme (3) Cabinet Forward Work Programme
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**IMPLICATIONS**

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

**Signed: Linda Rees-Jones Head of Administration & Law**

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

**CONSULTATIONS**

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

**Signed: Linda Rees-Jones Head of Administration & Law**

- 1. Local Member(s) – N/A**
- 2. Community / Town Council – N/A**
- 3. Relevant Partners – N/A**
- 4. Staff Side Representatives and other Organisations – N/A**

<b>CABINET MEMBER PORTFOLIO HOLDER AWARE / CONSULTED</b>	<b>YES</b>
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**Section 100D Local Government Act, 1972 – Access to Information**  
**List of Background Papers used in the preparation of this report:**  
**There are none.**

## FORTHCOMING ITEMS FOR NEXT MEETING TO BE HELD ON 1<sup>ST</sup> APRIL 2022

In order to ensure effective Scrutiny, Members need to be clear as to the purpose of requesting specific information and the outcome they are hoping to achieve as a consequence of examining a report. Limiting the number of agenda items may help to keep meetings focused and easier to manage.

<b>Proposed Agenda Item</b>	<b>Background</b>	<b>Reason for report</b>
		<p>What is Scrutiny being asked to do? <i>e.g. undertake a full review of the subject? Investigate different policy options? Be consulted on final proposals before decision making? Monitor outcomes /implementation?</i></p> <p><i>If the item is for information or for noting, can the information be provided in an alternative format i.e. via email?</i></p>
Quarterly Treasury Management and Prudential Indicator Report 1st April 2021 to 31st December 2021	This is a standard quarterly update in relation to Treasury Management	The Revised CIPFA Treasury Management Code of Practice 2017 stipulates that there should be regular reporting to Members and Member scrutiny of the treasury policies. The Policy and Resources Scrutiny Committee is responsible for ensuring this effective scrutiny of the treasury management strategy and policies.
Revenue & Capital Budget Monitoring Report 2021/22	This is a standard item which allows members to undertake their monitoring role of the departmental and corporate budgets.	The Committee is being requested to scrutinise the budget information.
Policy & Resources Scrutiny Committee Actions and Referrals Update	These quarterly updates provide details on progress made in relation to actions and requests which arose at previous meetings.	To enable the Committee to scrutinise progress made in relation to actions and requests arising from previous meetings.
Quarter 3 performance management report	This is the standard Performance Management report on our progress in delivering the objectives/actions and targets set out in the New Corporate Strategy. It covers those elements of the strategy that fall under the remit of this Scrutiny.	To enable the committee to undertake its monitoring role.
Learning Policy	The Learning Policy will support effective people management in terms of learning and development, recruitment, performance management, workforce development, succession planning.	To enable the committee to comment on the policy
November 2021 PSB minutes	The Well-being of Future Generations (Wales) Act 2015 notes the requirement that a designated local government scrutiny committee is appointed to scrutinise the work of the PSB. In Carmarthenshire, the Council's Policy & Resources Scrutiny Committee has been designated as the relevant scrutiny committee.	To consider and scrutinise on the content of the PSB minutes

### Items circulated to the Committee under separate cover since the last meeting

None

N.B. Copies of these reports can be obtained by emailing  
[Scrutiny@carmarthenshire.gov.uk](mailto:Scrutiny@carmarthenshire.gov.uk)

### Items attached for information

None

When choosing a topic a Scrutiny Committee should consider whether:-

- scrutiny could have an impact and add value
- the topic is of high local importance and reflects the concerns of local people
- the resources are available that would be required to conduct the review, in terms of resources and budget
- it avoids work duplication elsewhere
- the issue is one that the committee can realistically influence
- the issue is related to an area where the council, or one of its partners, is not performing well
- the issue is relevant to all or large parts of the local area
- the review would be in the council's interests.

Topics are not suitable for scrutiny when:

- the issue is already being addressed elsewhere and change is imminent
- the topic would be better addressed elsewhere (and will be referred there)
- scrutiny involvement would have limited or no impact upon outcomes
- the topic may be sub-judice or prejudicial to the council's interest
- the topic is too broad to make a review realistic
- new legislation or guidance relating to the topic is expected within the next year
- the topic area is currently subject to inspection or has recently undergone substantial change.



## Policy & Resources Scrutiny Committee – Forward Work Programme 2020/21

10 <sup>th</sup> June 2021	21 <sup>st</sup> July 2021	20 <sup>th</sup> October 2021	10 <sup>th</sup> December 2021	14 <sup>th</sup> January 2022	2 <sup>nd</sup> February 2022	1 <sup>st</sup> April 2022
Carmarthenshire Well-Being Plan Annual Report 2020-21 & PSB Update	Draft Carmarthenshire County Council's Annual Report for 2020/21	Revenue & Capital Budget Monitoring Report 2021/22	<del>Sickness Absence Monitoring Report – Half Year Q2</del> 2021/22 Moved to January meeting	November 2021 PSB minutes	Revenue Budget Strategy Consultation 2021/22 to 2024/25 [Moved from January]	Quarterly Treasury Management and Prudential Indicator Report 1st April 2021 to 31st December 2021
PSB minutes	Strategic Equality Plan Annual Report 2020-21	Quarterly Treasury Management and Prudential Indicator Report 1st April 2021 to 30th June 2021	TIC Annual Report 20/21 Moved to February meeting	<del>Sickness Absence Monitoring Report – Half Year Q2</del> 2021/22 [Moved from December]	Five Year Capital Programme 2022/23 - 2026/27 [Moved from January]	Revenue & Capital Budget Monitoring Report 2021/22
<del>Sickness Absence Monitoring Report – end of year</del> 2020/21 Moved to July meeting	Annual Report on the Welsh Language 2020-21	May & July 2021 PSB minutes	Revenue & Capital Budget Monitoring Report 2021/22	Quarter 2 performance management report [Moved from December]	Treasury Management Policy & Strategy 2022/23 [Moved from January]	Policy & Resources Scrutiny Committee Actions and Referrals Update
Revenue & Capital Budget Monitoring Report 2020/21	Policy & Resources Scrutiny Committee Actions and Referrals update	Quarter 1 performance management report	Mid-Year Treasury Management and Prudential Indicator Report 1st April 2021 to 30th September 2021		Revenue and Capital Budget Monitoring Report 2021/22 [Moved from January]	Quarter 3 performance management report
Policy & Resources Scrutiny Committee Annual Report 2020/21	Annual Digital Transformation [and Technology] Strategy Report	Digital Schools Strategy Annual Report 2021 [moved from July meeting]	Policy & Resources Scrutiny Committee Actions and Referrals Update		Business Plans [added 11/10/21]	Learning Policy [added 11/10/21]
CCTV Policy	Sickness Absence Monitoring Report - end of year 2020/21	Annual Treasury Management and Prudential Indicator Report 2020-2021 [moved from July meeting]	September 2021 PSB minutes		TIC Position Statement 20/21	November 2021 PSB minutes [Moved from February]

## Policy & Resources Scrutiny Committee – Forward Work Programme 2020/21

	Handling Personal Data Policy [added 13/7/21]	Vaccination Policy [added 26/7/21]	Quarter 2 performance management report Moved to January meeting		Digital Schools Strategy [added 2/11/21]	
		Ethical Employment in Supply Chains Policy and Annual Modern Slavery, Ethical Employment in Supply Chains Statement [added 11/10/21]			Digital Technology Strategy reports [added 2/11/21]	
					November 2021 PSB minutes [Moved to April]	
					Sickness Absence Monitoring Report - Half Year Q2 2021/22 [Moved from January]	

**Exec. Board Meetings:** 10<sup>th</sup> May; 24<sup>th</sup> May; 1<sup>st</sup> June; 7<sup>th</sup> June; 21<sup>st</sup> June; 5<sup>th</sup> July; 26<sup>th</sup> July; 13<sup>th</sup> September; 27<sup>th</sup> September; 11<sup>th</sup> October;

25<sup>th</sup> October; 8<sup>th</sup> November; 22<sup>nd</sup> November; 30<sup>th</sup> November; 6<sup>th</sup> December; 20<sup>th</sup> December;

**Council Meetings:** 12<sup>th</sup> May; 19<sup>th</sup> May [AGM]; 9<sup>th</sup> June; 14<sup>th</sup> July; 15<sup>th</sup> September; 13<sup>th</sup> October; 10<sup>th</sup> November; 8<sup>th</sup> December;

**EXECUTIVE BOARD FORWARD WORK PROGRAMME 20/21**  
**-as at 23/03/2021** (For the period March 21 – February 22)

**Introduction**

This plan is published to encourage and enable greater understanding between the Executive, all Councillors, the public and other stakeholders. It assists the Scrutiny Committees in planning their contribution to policy development and holding the executive to account.

The plan gives the public and stakeholders a chance to see the forthcoming major decisions to be made by the Executive Board over the next 12 months. It is reviewed and published quarterly to take account of changes and additional key decisions.

WORKING DRAFT

**EXECUTIVE BOARD FORWARD WORK PROGRAMME 20/21**  
**-as at 23/03/2021 (For the period March 21 – February 22)**

**CHIEF EXECUTIVES**

Subject area and brief description of nature of report	Responsible Officer	Executive Portfolio	Scrutiny Committee to be consulted	Date of expected decision by Executive Board
INTEGRATED IMPACT ASSESSMENT AND COVER SHEET	Wendy Walters, Chief Executive/Gwyneth Ayres	Deputy Leader	No	May 2021
ANNUAL REPORT	Noelwyn Daniel -Head of ICT & Corporate Policy	Deputy Leader	VARIOUS IN JULY	27/09/21
WELLBEING OBJECTIVES	Wendy Walters Chief Executive	Communities and Rural Affairs		
WELSH GOVERNMENT CONSULTATION DOCUMENTS	Wendy Walters Chief Executive	Deputy Leader	If applicable	If applicable
REVIEW OF COMMUNITY COUNCIL BOUNDARIES & ELECTORAL ARRANGEMENTS	Wendy Walters, Chief Executive	Resources		As and when required
REVIEW OF THE CONSTITUTION (LEGISLATION CHANGES) - CRWG	Linda Rees Jones Head of Administration & Law	N/A CRWG - FEB	N/A	As And When Required
CITY DEAL UPDATE (INCLUDING PENTRE AWEL)	Wendy Walters Chief Executive	Leader		As & When Required
CARMARTHEN WEST RESIDENTIAL	Jason Jones Head of Regeneration	Regeneration / Property	Not applicable	26/04/21
BURRY PORT RELEASE OF LAND	Jason Jones Head of Regeneration	Regeneration / Property	Not applicable	26/04/21
8/12 VAUGHAN STREET, LLANELLI	Jason Jones Head of Regeneration	Regeneration / Property	Not applicable	26/04/21
WELSH LANGUAGE ANNUAL REPORT	Wendy Walters, Chief Executive/Gwyneth Ayres	Culture, Sport & Tourism	Yes	March 2022
CORPORATE STRATEGY	Noelwyn Daniel -Head of ICT & Corporate Policy	Deputy Leader	Yes	March 2022
STRATEGIC EQUALITY REPORT	Noelwyn Daniel -Head of ICT & Corporate Policy	Deputy Leader	Yes	March 2022
NET ZERO ACTION PLAN - REVIEW	Jason Jones, Head of Regeneration	Communities and Rural Affairs	Date to be confirmed	March 2022

**EXECUTIVE BOARD FORWARD WORK PROGRAMME 20/21**  
**-as at 23/03/2021 (For the period March 21 – February 22)**

<b>COMMUNITY SERVICES</b>				
Subject area and brief description of nature of report	Responsible Officer	Executive Portfolio	Scrutiny Committee to be consulted	Date of expected decision by Executive Board
DEVELOPMENT OF A NEW TENANT TYPE CHALLENGE PANEL	Jonathan Morgan – Head of Homes and SCr/Les James	Housing		24 <sup>TH</sup> May 2021
UNIVERSAL CREDIT AND RENTS UPDATE RENT ARREARS POSITION STATEMENT	Jonathan Morgan – Head of Homes and Safer Communities/ Jonathan Willis	Housing		26 <sup>th</sup> April 2021
ANTI SOCIAL BEHAVIOUR POLICY	Jonathan Morgan – Head of Homes and Safer Communities /Les James / Sue Watts/Robert David Williams	Culture, Sports & Tourism	E&PP Scrutiny 18/05/2021	07/06/21
CHS+ DELIVERING WHAT MATTERS BUSINESS PLAN	Jonathan Morgan – Head of Homes and Safer Communities/ Rachel Davies/ Gareth Williams	Housing	January 2022	February 2022 (Budget)
DIRECTOR OF SOCIAL SERVICES ANNUAL REPORT 2019/20	Jake Morgan – Director of Communities/Silvana Sauro	Social Care & Health		TBC
DOG BREEDERS LICENCE UPDATE (Change of Policy / Legislation – awaiting WG confirmation)	Jonathan Morgan – Head of Homes and Safer Communities/ Roger Edmunds	Public Protection		TBC

WORKING DRAFT

**EXECUTIVE BOARD FORWARD WORK PROGRAMME 20/21**  
 –as at 23/03/2021 (For the period March 21 – February 22)

**CORPORATE SERVICES**

Subject area and brief description of nature of report	Responsible Officer	Executive Portfolio	Scrutiny Committee to be consulted	Date of expected decision by Executive Board
BI-MONTHLY REVENUE AND CAPITAL BUDGET MONITORING REPORTS	Chris Moore Director of Corporate Services	Resources	N/A	SEPT NOV JAN MARCH
QUARTERLY TREASURY MANAGEMENT AND PRUDENTIAL INDICATOR REPORT	Chris Moore Director of Corporate Services	Resources	N/A	SEPT/OCT JAN APR
ANNUAL TREASURY MANAGEMENT & PRUDENTIAL INDICATOR REPORT	Chris Moore Director of Corporate Services	Resources	N/A	JULY
5 YEAR CAPITAL PROGRAMME	Chris Moore Director of Corporate Services	Resources	ALL JAN/ FEB	JAN
COUNCIL TAX BASE	Chris Moore / Helen Pugh	Resources	N/A	DEC
Council Tax Reduction Scheme	Chris Moore / Helen Pugh	Resources	N/A	FEB
BUDGET STRATEGY (Revenue and Capital)	Chris Moore Director of Corporate Services	Resources	ALL JAN/ FEB	JAN
HIGH STREET RATE RELIEF	Chris Moore Director of Corporate Services /Helen Pugh	Resources	N/A	March
CORPORATE RISK REGISTER	Chris Moore Director of Corporate Services / Helen Pugh	Resources	– Audit Committee March & SEPT	
TREASURY MANAGEMENT POLICY AND STRATEGY	Chris Moore Director of Corporate Services	Resources	N/A	FEBRUARY – BUDGET MEETING
FINAL BUDGET Revenue & Capital	Chris Moore Director of Corporate Services	Resources	N/A	FEBRUARY – BUDGET MEETING
HOUSING REVENUE ACCOUNT BUDGET AND RENT SETTING REPORT	Chris Moore Director of Corporate Services	Resources	HOUSING	FEBRUARY BUDGET MEETING
BUDGET OUTLOOK	Chris Moore Director of Corporate Services	Resources	N/A	NOV

**EXECUTIVE BOARD FORWARD WORK PROGRAMME 20/21**  
**-as at 23/03/2021 (For the period March 21 – February 22)**

<b>EDUCATION &amp; CHILDREN</b>				
<b>Subject area and brief description of nature of report</b>	<b>Responsible Officer</b>	<b>Executive Portfolio</b>	<b>Scrutiny Committee to be consulted</b>	<b>Date of expected decision by Executive Board</b>
PROPOSAL TO RELOCATE YSGOL HEOL GOFFA AND TO INCREASE ITS CAPACITY (STAGE 2 AND 3)	Simon Davies – Head of Access to Education	Education & Children	17/03/21 (stage 3)	12 <sup>th</sup> April 2021
PROPOSAL TO DISCONTINUE YSGOL GYNRADD BLAENAU AND TO INCREASE THE CAPACITY AND CHANGE THE NATURE OF PROVISION AT YSGOL GYNRADD LLANDYBIE (STAGE 1, 2 AND 3)	Simon Davies – Head of Access to Education	Education & Children	N/A	TBC (Stage 2) TBC (Stage 3)
PROPOSAL TO DISCONTINUE YSGOL RHYDYGORS (STAGE 1, 2 AND 3)	Simon Davies – Head of Access to Education	Education & Children	N/A	TBC (Stage 2) TBC (Stage 3)
PROPOSAL TO CHANGE THE AGE RANGE AT YSGOL SWISS VALLEY (TBC) (STAGE 1, 2 AND 3)	Simon Davies – Head of Access to Education	Education & Children	N/A	TBC (Stage 2) TBC (Stage 3)
PROPOSAL TO DISCONTINUE YSGOL GYNRADD MYNYDD Y GARREG (STAGE 1, 2 AND 3)	Simon Davies – Head of Access to Education	Education & Children	N/A	TBC (Stage 2) TBC (Stage 3)
PROPOSAL TO CHANGE THE NATURE OF PROVISION AT YSGOL Y FELIN (STAGE 2 AND 3)	Simon Davies – Head of Access to Education	Education & Children		TBC (Stage 2) TBC (Stage 3)
PROPOSAL TO CHANGE THE NATURE OF PROVISION AT MODEL VA PRIMARY SCHOOL (STAGE 2 AND 3)	Simon Davies – Head of Access to Education	Education & Children		TBC (Stage 2) TBC (Stage 3)
SCHOOL UPDATE REPORT- COVID 19, SCHOOLS CAUSING CONCERN AND FINANCE	Gareth Morgans – Director of Education and Children	Education & Children	N/A	
LA EDUCATION SERVICES SELF EVALUATION	Aneirin Thomas – Head of Education and Inclusion	Education & Children	tbc	TBC
POST 16 EDUCATION	Aeron Rees – Head of Curriculum and Wellbeing	Education & Children	tbc	TBC
RESULTS OF 2021 EXAMINATIONS”	Aneirin Thomas – Head of Education and Inclusion	Education & Children	tbc	N/A
CHILDREN’S SERVICES PAPER- TBC	Stefan Smith - Head of Children’s Services	Education & Children	N/A	tbc
CARMARTHENSHIRE 10 YEAR STRATEGY FOR EDUCATION	Gareth Morgans – Director of Education and Children	Education & Children	tbc	TBC
NEW 10 YEAR WELSH IN EDUCATION STRATEGY	Aeron Rees – Head of Curriculum and Wellbeing	Education & Children	tbc	TBC

**EXECUTIVE BOARD FORWARD WORK PROGRAMME 20/21**  
 –as at 23/03/2021 (For the period March 21 – February 22)

**ENVIRONMENT**

Subject area and brief description of nature of report	Responsible Officer	Executive Portfolio	Scrutiny Committee to be consulted	Date of expected decision by Executive Board
PUBLIC REALM	Steve Pilliner / Richard waters	Environment		26/4/21
LDO	Llinos Quelch / Ian R Llewellyn	Environment		10/5/21
BUS REFORM	Steve Pilliner	Environment		24/5/21
PACE MAKING CHARTER	Llinos Quelch / Ian R Llewellyn	Environment		24/5/21
HIGHWAYS MAINTENANCE MANUAL	Steve Pilliner - Head of Transportation & Highways/ Chris Nelson/ Richard Waters	Environment	EPP 4/10/21	25/10/21
EQUESTRIAN STRATEGY	Steve Pilliner - Head of Transportation & Highways /Caroline Ferguson	Environment	EPP 4/10/21	25/10/21
GRAFFITI POLICY	Ainsley Williams	Environment	EPP 4/10/21	25/10/21
FLOOD RESPONSE	Ainsley Williams	Environment	4/10/21	25/10/21
LEQ	Ainsley Williams	Environment	EPP 4/10/21	25/10/21
ELECTRIC VEHICLE STRATEGY	Steve Pilliner / Simon Charles	Environment	EPP 12/11/21	6/12/21
PUBLIC CONVENIENCES	Ainsley Williams. Head of Waste & Environmental Services Rhys Davies	Environment	EPP 16/12/21	January 22



Dydd Gwener, 14 Ionawr 2022

**YN BRESENNOL:** Y Cynghorydd A.G. Morgan (Cadeirydd);

**Y Cynghorwyr:**

S.M. Allen, K.V. Broom, D.M. Cundy, T.A.J. Davies, H.L. Davies, J.S. Edmunds, G.H. John, J.K. Howell, C. Jones, K. Madge, J.G. Prosser a/ac D.E. Williams;

**Hefyd yn bresennol:**

Y Cynghorydd C.A. Davies, Aelod y Cabinet dros Cymunedau a Materion Gwledig;  
Y Cynghorydd D.M. Jenkins, Aelod y Cabinet dros Adnoddau;

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

N. Daniel, Pennaeth Gwasanaethau TGCh / Interim Director of Environment;  
J. Jones, Rheolwr Eiddo a Phrosiectau Mawr;  
H. Pugh, Pennaeth Dros Dro Archwilio, Riag a Chaffael;  
L.R. Jones, Pennaeth Gweinyddiaeth a'r Gyfraith;  
P.R. Thomas, Prif Weithredwr Cynorthwyol (Rheoli Pobl a Pherfformiad);  
G. Ayers, Rheolwr Polisi Corfforaethol a Phartneriaeth;  
D. Hockenull, Rheolwr y Cyfryngau a Marchnata;  
A. Eynon, Prif Gyfieithydd;  
M. Evans Thomas, Prif Swyddog Gwasanaethau Democrataidd;  
E. Bryer, Swyddog Gwasanaethau Democrataidd;  
J. Owens, Swyddog Gwasanaethau Democrataidd;  
M.S. Davies, Swyddog Gwasanaethau Democrataidd.

**Cyfarfod rhithwir: 10.00 yb - 11.30 yb**

**1. YMDDIHEURIADAU AM ABSENOLDEB**

Ni chafwyd ymddiheuriadau am absenoldeb.

Rhoddodd y Cadeirydd deyrnged i'r Cynghorydd Mair Stephens, Dirprwy Arweinydd Cyngor Sir Caerfyrddin, a fu farw'n ddiweddar.  
Cafodd y Pwyllgor funud o dawelwch er cof am y Cynghorydd Stephens.

**2. DATGANIADAU O FUDDIANNAU PERSONOL GAN GYNNWYS UNRHYW CHWIPIAU PLEIDIAU A RODDIR MEWN YMATEB I UNRHYW EITEM AR YR AGENDA**

Y Cynghorydd	Rhif y Cofnod	Y Math o Fuddiant
A. Davies	5 - Adroddiad Perfformiad Adrannol Chwarter 2 2021/22 (1 Ebrill hyd at 30 Medi 2021)	Ei chwaer yng nghyfraith yw'r Pennaeth Refeniw a Chydymffurfiaeth Ariannol.

**3. CWESTIYNAU GAN Y CYHOEDD (NID OEDD DIM WEDI DOD I LAW)**

Nid oedd cwestiynau gan y cyhoedd wedi dod i law.

**4. ADRODDIAD PERFFORMIAD CORFFORAETHOL CWARTER 2 - 2021/22 (1 EBRILL I 30 MEDI 2021) SY'N RHYCHWANTU'R HOLL ADRANNAU**

Rhododd y Pwyllgor ystyriaeth i Adroddiad Perfformiad Corfforaethol Chwarter 2 2021/22 (1 Ebrill hyd at 30 Medi 2021) sy'n rychwantu pob adran.

Roedd yr adroddiad yn dangos cynnydd y camau a'r mesurau oedd yn gysylltiedig â'r Strategaeth Gorfforaethol a'r 13 Amcan Llesiant fel roedd ar ddiwedd Chwarter 2 - 2021/22.

Nodwyd bod dyletswydd gyffredinol ar yr Awdurdod i wneud trefniadau i fonitro perfformiad ac i ddangos i ddinasyddion, i aelodau ac i reoleiddwyr sut y rheolwyd perfformiad, a bod ymyriadau priodol yn cael eu gweithredu.

**PENDERFYNWYD YN UNFRYDOL dderbyn yr adroddiad.**

**5. ADRODDIAD ADRANNOL PERFFORMIAD CWARTER 2 - BLWYDDYN 2020/21 (1 EBRILL I 30 MEDI 2021) YN ARBENNIG I'R PWYLLGOR CRAFFU HWN**

Bu'r Pwyllgor yn ystyried Adroddiad Perfformiad Adrannol Chwarter 2 2021/22 (1 Ebrill hyd at 30 Medi 2021) sy'n berthnasol i'r maes craffu hwn.

Roedd yr adroddiad yn dangos cynnydd y camau a'r mesurau oedd yn gysylltiedig â'r Strategaeth Gorfforaethol a'r 13 Amcan Llesiant fel roedd ar ddiwedd Chwarter 2 - 2021/22.

Nodwyd bod dyletswydd gyffredinol ar yr Awdurdod i wneud trefniadau i fonitro perfformiad ac i ddangos i ddinasyddion, i aelodau ac i reoleiddwyr sut y rheolwyd perfformiad, a bod ymyriadau priodol yn cael eu gweithredu

Roedd y canlynol ymhlith y materion a godwyd ynghylch yr adroddiad:

**Mesurau nad ydynt yn Cydymffurfio â'r Targed**

- O ran ymatebion i geisiadau'r Ddeddf Rhyddid Gwybodaeth, nodwyd bod camau'n cael eu cymryd i wella cyfraddau ymateb adrannau i geisiadau am wybodaeth, ond cydnabuwyd bod y pwysau sydd ar adrannau i ddelio â materion sy'n ymwneud â Covid wedi effeithio ar ganlyniadau Chwarter 2. Roedd gwelliannau hefyd yn cael eu gwneud i systemau gweinyddol y Ddeddf Rhyddid Gwybodaeth. Awgrymwyd, o ystyried yr uchod, fod y geiriau 'dim yn bosibl' yn cael eu newid i 'ar y gweill' o dan yr adran 'Camau Adferol' yn yr adroddiad ar gyfer y mesur hwn;
- Rhoddwyd gwybod i'r Pwyllgor fod y data presennol yn dangos gostyngiad ymylol, ond tuedd ar i lawr, o ran absenoldeb salwch. Mewn ymateb i gwestiwn, dywedodd y Prif Weithredwr Cynorthwyol (Rheoli Pobl) er bod yr Awdurdod wedi'i atal rhag gofyn i weithwyr a oeddynt wedi cael brechiad rhag y fflw, ei fod yn hyrwyddo manteision brechiadau o'r fath yn unol â pholisi brechu'r Awdurdod. Awgrymwyd y byddai'n ddefnyddiol cynnwys cyfeiriad at ganran y staff sy'n sâl ym mhob chwarter;
- Cyfeiriwyd at y cynnydd a ragwelir yng nghostau byw a phrisiau ynni o fis Ebrill 2022 a mynegwyd pryder ynghylch a oedd gan yr Awdurdod ddigon o staff i gynorthwyo pobl a allai geisio cymorth neu'r rheiny a allai fod angen cymorth. Dywedodd y Pennaeth Refeniw a Chydymffurfiaeth Ariannol fod

llwyth gwaith y staff yn cael ei fonitro'n agos a bod swyddi ychwanegol yn cael eu hysbysebu ar hyn o bryd;

- Gofynnwyd a oedd map yn nodi pa mor gyffredin yw tlodi yn Sir Gaerfyrddin. Dywedodd yr Aelod Cabinet dros Faterion Cymunedol a Gwledig fod Grŵp Trechu Tlodi'r Awdurdod yn ystyried materion yn ymwneud â thlodi gwledig a threfol a'i fod yn helpu i nodi pobl yr oedd angen cymorth ychwanegol arnynt i nodi'r gwasanaethau a'r budd-daliadau yr oedd ganddynt hawl iddynt;
- Cytunodd y Pennaeth Refeniw a Chydymffurfiaeth Ariannol i fynd ar drywydd pryderon ynghylch oedi gan y Swyddfa Brisio o ran ceisiadau i ailasesu'r dreth gyngor;
- Rhoddwyd gwybod i'r Pwyllgor fod data cynllunio'r gweithlu yn tynnu sylw at y ffaith fod gan yr Awdurdod weithlu sy'n heneiddio a bod prentisiaethau, ochr yn ochr â gwaith gydag ysgolion, yn cael eu hystyried yn ffordd bwysig o ddenu pobl ifanc i wasanaeth y cyngor yn ogystal â'r cynllun hyfforddai graddedig. O ran cynllunio'r gweithlu, cyfeiriwyd at yr Academi Ofal a oedd ar fin cael ei lansio a fyddai, gobeithio, yn denu pobl a oedd am weithio yn sector gofal yr Awdurdod;

### **Mesurau sy'n Cydymffurfio â'r Targed / materion eraill**

- Gan ymateb i bryder a leisiwyd ynghylch yr amser y bu'n rhaid i aelodau'r cyhoedd ac i aelodau aros cyn cael gafael ar staff y ganolfan alwadau yn ystod y pandemig presennol a'r cyfnodau o dywydd gwael, bu i'r Rheolwr Marchnata a'r Cyfryngau gydnabod bod nifer y galwadau a dderbyniwyd yn sylweddol uwch na'r lefelau cyn y pandemig a hefyd roedd llawer o'r galwadau yn hirach ac yn fwy cymhleth. Ychwanegodd fod yr Awdurdod yn parhau i geisio recriwtio staff ychwanegol i'r ganolfan alwadau a'i fod yn adolygu ei gweithrediadau. Nodwyd y gallai'r cyhoedd hefyd gysylltu â'r Cyngor drwy ei wefan a'i gyfryngau cymdeithasol. Cytunodd y Rheolwr Marchnata a'r Cyfryngau i ymchwilio i briodoldeb cyflwyno mesur sy'n ymwneud ag amserau ymateb i ymholiadau'r cyhoedd gan gynnwys y rhai a ddaw i law y tu allan i oriau i'r oriau arferol;
- Cytunodd y Prif Weithredwr Cynorthwyol (Rheoli Pobl) i gadarnhau gyda Rheolwr y Rhaglen TIC a fyddai adborth yn cael ei roi i breswylwyr ac i ddefnyddwyr gwasanaethau a oedd wedi ymateb i ymgynghoriadau ac a oedd yn rhan o'r gwaith o nodi blaenoriaethau a phrosiectau TIC yn y dyfodol;
- Cytunodd y Pennaeth Gweinyddiaeth a'r Gyfraith i ystyried awgrym y dylid ceisio barn Cynghorwyr sydd newydd eu hethol yn 2017 o ran paratoi'r rhaglen ymsefydlu aelodau yn dilyn yr etholiadau sydd i ddod.

Gofynnodd y Cadeirydd i'r swyddogion gyfleu i'w timau werthfawrogiad y Pwyllgor am eu gwaith yn ystod y cyfnod anodd hwn.

**PENDERFYNWYD YN UNFRYDOL dderbyn yr adroddiad.**

## **6. EGLURHAD AM BEIDIO Â CHYFLWYNO ADRODDIAD CRAFFU**

Cafodd y Pwyllgor yr adroddiad nad oedd wedi'i gyflwyno.

**PENDERFYNWYD YN UNFRYDOL nodi'r adroddiad.**

**7. EITEMAU AR GYFER Y DYFODOL**

**PENDERFYNWYD YN UNFRYDOL** dderbyn y rhestr o eitemau ar gyfer y dyfodol a oedd i'w hystyried yn y cyfarfod nesaf ar 2 Chwefror 2022.

**8. COFNODION - 10 RHAGFYR 2021**

**PENDERFYNWYD YN UNFRYDOL** lofnodi cofnodion y cyfarfod a gynhaliwyd ar 10 Rhagfyr 2021 yn gofnod cywir.

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**CADEIRYDD**

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**DYDDIAD**