

DYDD GWENER, 9 RHAGFYR 2022

**AT: HOLL AELODAU Y PWYLLGOR LLYWODRAETHU AC
ARCHWILIO**

YR WYF DRWY HYN YN EICH GALW I FYNYCHU CYFARFOD O'R
**PWYLLGOR LLYWODRAETHU AC ARCHWILIO A GYNHELIR YN
SIAMBR - NEUADD Y SIR, CAERFYRDDIN. SA31 1JP AC O BELL
AM 10.00 YB DYDD GWENER, 16EG RHAGFYR, 2022 ER MWYN
CYFLAWNI'R MATERION A AMLINELLIR AR YR AGENDA SYDD
YNGHLWM**

Wendy Walters

PRIF WEITHREDWR

Swyddog Democrataidd:	Julie Owens
Ffôn (Ilinell uniongyrchol):	01267 224088
E-Bost:	juowens@sirgar.gov.uk
Cyfarfod aml-leoliad yw hwn. Gall aelodau'r pwyllgor fynychu'n bersonol yn y lleoliad a nodir uchod neu o bell drwy'r ddolen Zoom a ddarperir ar wahân.	
Gellir gwyllo'r cyfarfod ar wefan y cyngor drwy'r ddolen canlynol:- https://carmarthenshire.public-i.tv/core/portal/home	

Wendy Walters Prif Weithredwr, *Chief Executive*,
Neuadd y Sir, Caerfyrddin. SA31 1JP
County Hall, Carmarthen. SA31 1JP

PWYLLGOR LLYWODRAETHU AC ARCHWILIO

GRŴP PLAID CYMRU- 4 Aelod

1. Cyng. Kim Broom
2. Cyng. Karen Davies
3. Cyng. Alex Evans
4. Cyng. Elwyn Williams

GRŴP LLAFUR - 3 Aelod

1. Cyng. Lewis Davies
2. Cyng. Philip Warlow
3. Cyng. Janet Williams

GRŴP ANNIBYNNOL - 1 Members

1. Cyng. Giles Morgan [Is-Gadeirydd]

AELODAU ALLANOL A PHLEIDLAIS

(Cyfnod y penodiad - tan etholiadau Llywodraeth Leol ym Mai 2027)

1. Julie James
2. David MacGregor [Cadeirydd]
3. Malcolm MacGregor
4. Lle Gwag

AGENDA

1. YMDDIHEURIADAU AM ABSENOLDEB.
2. DATGANIADAU O FUDDIANNAU PERSONOL.
3. ADRODDIAD ARCHWILIO CYMRU - ADOLYGIAD O'R GWASANAETH GWASTRAFF, GORFFENNAF 2021; DIWEDDARIAD RHAGFYR 2022 5 - 16
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Mae'r dudalen hon yn wag yn fwriadol

**PWYLLGOR LLYWODRAETHU AC ARCHWILIO
16 RHAGFYR 2022**

**ADRODDIAD ARCHWILIO CYMRU – ADOLYGIAD O'R
GWASANAETH GWASTRAFF, GORFFENNAF 2021;
DIWEDDARIAD RHAGFYR 2022**

Pwrpas:

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

Yr argymhellion / penderfyniadau allweddol sydd eu hangen:

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

Y rheswm/rhesymau dros yr argymhelliad:

Diweddariad yn unig.

Angen ymgynghori â'r Pwyllgor Craffu perthnasol NAC OES

Angen i'r Cabinet wneud penderfyniad NAC OES

Angen i'r Cyngor wneud penderfyniad NAC OES

YR AELOD O'R CABINET SY'N GYFRIFOL AM Y PORTFFOLIO:- Y Cyngorydd Edward Thomas - yr Aelod o'r Cabinet dros yr Adran Lles a Seilwaith

Y Gyfarwyddiaeth:

Lles & Seilwaith

Enw Pennaeth y Gwasanaeth:
Daniel W John

Awdur yr Adroddiad:
Daniel W John

Swyddi:

Pennaeth Dros Dro
Gwasanaethau
Amgylcheddol a Gwastraff

Pennaeth Gwasanaethau
Amgylcheddol a
Gwastraff.

Ffôn:

Cyfeiriadau e-bost:

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**EXECUTIVE SUMMARY
GOVERNANCE & AUDIT COMMITTEE
16 DECEMBER 2022**

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

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

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

A brief summary of the findings is provided as follows:

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

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

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

DETAILED REPORT ATTACHED?

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

IMPLICATIONS

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

Signed: **A WILLIAMS**

Head of Waste & Environmental Services

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

Finance

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

Risk Management Issues

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

Staffing Implications

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

Physical Assets

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

CONSULTATIONS

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

Signed: **D W John**

Interim Head of Waste & Environmental Services

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

**EXECUTIVE BOARD PORTFOLIO HOLDER(S)
AWARE/CONSULTED**

Yes – Cllr Edward Thomas and Cllr. Aled Vaughan Owen are aware of the position.

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

THERE ARE NONE

Audit Wales Report on Waste Services

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

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

Audit Wales Reference	Recommendations (the Council should):	Action	Progress	Status
R1: Garden Waste	The Council should identify performance measures for its garden waste service and ensure effective oversight of performance in this area by senior officers and Members.	<p>The viability and performance of the service will be reviewed annually at the end of the collection season.</p> <p>Options to be explored:</p> <ul style="list-style-type: none"> • Allow unfettered expansion in terms of customers. • Alternatively, consider capping the number of customers to match the available established resource. • Allow surplus from “in-profit” years to be ring fenced and taken forward to the following financial year to cover any operating cost deficit in the following year. • Remove the current 15% discount for a single full payment and apply a 10% discount instead. This would improve service viability and could go part way to sustaining additional resources when customer numbers grow. <p>Performance measures to consider:</p> <ul style="list-style-type: none"> • No of customers retained from the previous season. • Financial viability of service. 	The Garden Waste service currently has 12,210. The service has created a service information dashboard to monitor performance in deliveries, tonnage captured, missed collections and route and location mass averages. This information is continually analysed to ensure service efficiency. The end of season review will commence following completion of November Collections. The charging discount has been reduced to 10% for this season and we have retained and expanded on our previous customer base.	Complete and ongoing performance monitoring and review in place.
R2; CWM Environmental Ltd.	Ensure that there is a risk register for CWM.	<p>RISK Register to be approved by CWM Board by 31st December annually.</p> <p>Company Risk register to be presented to shareholder group alongside 3-year Business Plan prior to 31st March 22 and annually thereafter.</p>	<p>Action agreed with CWM MD</p> <p>Company Risk register has been presented to the Shareholder Board and will continue to do so annually</p>	Complete – reports/meeting already scheduled

Audit Wales Reference	Recommendations (the Council should):	Action	Progress	Status
			The CWM business plan and risk register will be presented to CMT and Cabinet on a twice-yearly basis with the next BP report due in December.	
R3; CWM Environmental Ltd.	Ensure that it (Council) undertakes effective oversight of CWM's performance and associated risks, including at relevant committees such as overview and scrutiny.	Shareholder Board report to Executive board 6 monthly (together with report from Company MD as required).	Already scheduled as a regular report to Shareholder Board and to PEB/EB, that collectively provide governance of CWM from a Council perspective.	Complete – reports/meeting already scheduled
R4; CWM Environmental Ltd.	Develop a contingency plan for dealing with any consequences in the event CWM becomes financially unviable.	<p>Should the company become financially unviable then as shareholder the Council could take any one of, or a mix of the following actions:</p> <ul style="list-style-type: none"> - Provide short term financial support - Replace or augment the management of the company - Step in and deliver the services directly - Subject the service to competition <p>Council is already guaranteeing the aftercare liability for the Nantycaws site and this is supported by £1.5m cash held in a joint ESCROW account.</p>	This is in place and will be kept under review by the Governance group/Executive Board	Complete -measures identified are currently in place.
R5: Fly-tipping	Develop and implement an agreed plan to sustainably address the high number of fly-tipping incidents.	<p>The Council is in the process of formalising its Local Environmental Quality (LEQ) Plan.</p> <p>There is currently full engagement with the Welsh Government led national initiative called Caru Cymru. The aim of the plan is to put measures in place from a communications, education and physical cleansing activity with the aim of preventing or reducing litter. In addition, the Council will work with community groups to remove fly-tipped waste.</p> <p>Review CCC's current fly-tipping removal gang resource levels; potentially expand to two gangs for the County - Llanelli and Carmarthen.</p> <p>Resource to be costed.</p> <p>Creation of new Waste Warden posts being considered to deal with kerbside waste transgressions.</p> <p>Reconvene internal LEQ group and focus action on a prioritised basis within the group.</p> <p>Participate in Environment & Public Protection Scrutiny Committee Task and Finish Review on fly-tipping from a Council-wide perspective.</p>	<p>LEQ Management Plan has been approved and action plan is being monitored and delivered.</p> <p>Caru Cymru projects being progressed.</p> <p>Our performance against fly-tipping removal is on target so the need for additional fly-tipping team is not required and the duties have been spread within the current cleansing resource.</p> <p>T&F Group TOR finalised and has involved the Planning section, Environmental Health Section and Waste Section and is scheduled for commencement on 8th December 2022.</p>	Partially Complete and T&F action in progress
R6: Fly-tipping	Report corporately on a fuller set of performance	Review the way incidents of fly-tipping are recorded and identify all potential reporting sources to ensure multiple reports of the same incident are identifiable.	We now record the number of FPN issued and record hot-spot locations of fly-tipping. These are then monitored, and actions	Commenced and Partially Complete awaiting WLGA PIs

Audit Wales Reference	Recommendations (the Council should):	Action	Progress	Status
	measures for fly-tipping, including the number of incidents, to enable senior officers and Members to have more effective oversight of the problem and to drive improvement.	Rationalise data capture and filter out duplicate reporting. Develop wider performance indicators.	developed to suit problem and site-specific issues. This is facilitated through the LEQ Group. In addition, the WLGA are still looking at waste and environmental crime Performance Indicators.	
R7(1): Waste Strategy	All elements of the waste hierarchy need to be considered, including prevention.	A review of our waste service strategy is currently in progress and will include reference to hierarchy and circular economy (CE) A separate CE Strategy will also be developed with a specific CE Project Officer employed.	Waste collection strategy outlook and detail for future collections has been politically approved. With Phase 1 of the strategy being implemented in January 2023. Strategic partner has been employed to support with the development of the Circular Economy in our 10 rural towns.	In progress/Complete
R7(2): Waste Strategy R7(3): Waste Strategy	It integrates its strategy with other related projects and plans e.g. regeneration, enforcement and fly-tipping. It has clear and sustainable plans for financing its strategy (including contingency plans if Welsh Government funding is not available).	Incorporate wider links to environmental management into the Waste Strategy Plan. Financial position to be clarified within the Waste Strategy Report. Continue dialogue with WG on support for future waste strategy. Detail of support to be worked through as approval in principle has been provided.	The Waste strategy is now integrating with the regeneration division in terms of circular economy in our rural and main towns. We are also collaborating with the Cost-of-Living action group with our suite of services that can support this agenda. In addition, we are now working with the sustainability team on developing Electric Collection Vehicles and are working on a sustainability and net zero plan for Nantycaws. The Financing of the Waste Strategy has been approved by WG and the revenue implications of the service have been factored into future service budgets	Complete Complete
R7(4): Waste Strategy R7(5): Waste Strategy	It devotes sufficient time to consult the public on its proposed changes to waste collection arrangements. It develops and implements an engagement strategy focussing on the behavioural change required for the successful launch and adoption by the public of its new strategy (the Welsh Government Blueprint collection model)4.	Outcome of the engagement exercise to be included in the waste strategy report as part of the considerations for the new strategy Identify resource requirements and programme of public engagement prior to implementation of changes.	Public engagement exercise completed in July 21. We have also developed a full communications strategy to underpin the changes required with ongoing public engagement factored into our service design moving forward to ensure ongoing recycling participation and performance. With a Team of engagement officers to be recruited in time for January roll out. Engagement resource identified. Recruitment to follow and implemented by January 2023. Engagement and communications plan has been developed in conjunction with wrap Cymru.	Complete and ongoing Complete and ongoing

Audit Wales Reference	Recommendations (the Council should):	Action	Progress	Status
R8(1): Business Plan	Set out clear accountable actions for its waste service which are specific measurable and timebound.	Specific actions to be developed in line with proposed waste strategy	Our departmental and divisional business plan align with our strategic objectives with responsible officers reporting quarterly on performance against these strategic actions and measures.	Complete and ongoing
R8(2): Business Plan	Include performance measures that re linked to the actions which have clear targets and success actions.	As above	Same as Above	

Appendix 2:

Waste Strategy Project Update

Introduction

Carmarthenshire County Council currently provides waste services to approximately 91,000 households through the delivery of a fortnightly residual general waste collection and co-mingled kerbside recycling service as well as a weekly food collection. Kerbside bulky and garden waste are offered as chargeable services, in addition to a network of Bring-sites available for glass recycling in the main with provision for textiles and small electrical items at busier sites.

Whilst the current service model has previously enabled the authority to exceed the statutory 64% target, we did fail to meet this last financial year, evidencing further change is required to meet this and the 70% target from 2024/25

The Carmarthenshire Waste Strategy 2021 – 2025 was approved by Cabinet in October 2021. This strategy outlines a comprehensive programme of works to deliver service transformational change to achieve 70% recycling by 2024/25, providing a base for further improvements to achieve zero waste by 2050 and working towards reducing the carbon impact of the service in line with our future carbon reduction ambitions.

The strategy provides a phased approach to service change with an interim solution to be delivered in 2022, with a longer-term service change to achieve the Blueprint collection methodology by 2024.

Interim Position

The interim phase of the Waste Strategy will commence in November this year with the new collection methodology commencing for residents on the 23rd January 2023. This will comprise of:

- Dry recycling [blue bags] collected weekly
- Non-recyclable material [black bags] three black bags every three weeks, and the
- introduction of a glass collection service to 95% of properties in Carmarthenshire for glass bottles and jars to be collected from kerbside every three weeks.
- With food waste collection continuing to be collected weekly.

This change has required the procurement of an additional 23 vehicles in total, with the introduction of the first three electric refuse collection vehicles into the fleet to support our wider objectives. The current fleet from the 23rd of January 2023 will be utilised to collect the dry recycling material on a weekly basis until the blueprint methodology is implemented in 2024, whereby new vehicles are required.

Whilst the residual waste and glass recycling are collected by separate vehicles and crew, it was important to try and maintain a consistent waste collection day/week for the householder. Due to the operational placement of vehicles in the three principal depots,

and geographical spread of the county we have been unable to ensure that all households are collected on the same day, however by undertaking some changes to the blue bag recycling round, we have managed to achieve around 44% of households on the same day for collection for their Blue, Black and Glass collection.

Waste collections currently are managed and operated from three different depots in the county based in Johnstown, Glanamman & Trostre. Due to the number of vehicles and the requirement for additional front-line employees [17 HGV drivers, 28 loaders] it has required a fourth depot to be introduced in Cross Hands for the interim measure, until an agreed option for location for the second phase of the strategy is agreed. The premises at Cross Hands has been leased for a period of two years following a successful planning application for the change of use for its intended use and the receipt of an operator's license for the site. The glass and residual fleet will operate from this new depot.

86,730 [95%] of properties in Carmarthenshire will be in receipt of glass collection from their home. Between Monday 21st November 2022 and Friday 20th January 2023, residents will be delivered a year's supply of blue bags and food waste liners for the brown kitchen caddy, and a black 44L box for their glass bottles and jars.

Residents will also receive an information pack through the post between the 14th November 2022 and January 20th 2023 which will provide guidance and further information in relation to the changes, including the days of the week their collections will be collected and a calendar to assist with the black and glass three weekly collections.

A robust engagement and communication plan has been developed to guide and assist residents in Carmarthenshire with the changes to their waste collections. Various communication strategies have been planned for pre and post roll out of the new service, to include social media campaigns, planned work to update the current website in relation to the changes, members seminars to ensure that members are fully informed of the changes to assist their constituents, posters to be installed at bus stop and FAQ's on the website.

As some residents will have their blue and black bags collected on different days of the week, we will be introducing a SMS and email notification service that residents will be able to sign up for. This service will send a reminder either via email or text message to the resident the evening before their collection day, to remind the resident of what commodity we will be collecting the following day.

There are unfortunately 2,954 properties which will be unable to be serviced by the kerbside glass collection but we will be working at getting these onto the service in the near future. The reasoning that these properties have not been able to join the glass recycling scheme at this time, is for reasons such as:

- the property is located in a long reach area and access via the 7.5t glass collection vehicle isn't feasible from both size and health and safety.
- The property is serviced by a private / non adopted road or

- Access to the property is via narrow lanes, which are unsuitable for a 7.5t glass collection vehicle.

As part of the service change we will be rationalising our network of Glass Bring Sites, we will continue to provide this service at strategic locations around the County during the interim period, to ensure residents who will not receive a kerbside collection will maintain access to glass recycling in their local community.

Integrated Impact Assessment

As of any service change, an Integrated Impact Assessment has been completed and measures have been put in place to ensure that these changes do not have a negative impact on Carmarthenshire residents. On the back of this assessment, we have developed a community engagement plan which is based on education and enforcement. Recycling advisors will be engaging with residents in person, targeting areas that we currently experience high contamination and low participation to recycling. Waste Wardens will be employed in time for the roll out in January 2023, to investigate noncompliance and enforce when needed if advice and guidance is not followed.

Finance

The Council, like many others, is under increasing financial pressure following a difficult period through COVID-19 response and due to the ongoing national economic position with further impact on services imminent from Welsh Government revenue support reductions compounded further by the decline in the Single Revenue Grant for Environmental Services, which has been a key source of core funding for the Council's Waste Services for many years. Given that we are at a low-cost base for collection under the current regime due to the operation of a single collection fleet, any switch to an alternative system to accommodate a weekly collection of Dry Recycling is going to be costly from a fleet and resource perspective. However, there is capital financial support from Welsh Government for Local Authorities in undertaking waste service change to Blueprint compliant collections.

We have been working with colleagues in Welsh Government to develop the opportunity for support funding, developing and submitting a business case for consideration.

As a result of this exercise and business case, the WG have recognised the considerable opportunities associated with the potential plans outlined for improving the collection of high-quality materials alongside support for their processing and use. Not just in waste and resource efficiency, but also in renewable energy, transport, and regional economic development. We have received notification of support funding approval for £14.3m from the WG and the Minister for Climate Change based upon our service change timelines. And the decarbonisation of our fleet resource and the benefit on wider WG objectives.

This capital support combined with increased material values and lower treatment costs inherent with Blueprint collections, will result in overall savings in 2024/25 compared to the increased cost of the interim position.

Circular Economy

Carmarthenshire has been successful in obtaining funding to develop our circular economy ambitions within the County. WE have recently implemented a series of projects delivering the re-use, repair, and re-manufacture of waste streams. The projects include:

- Repair workshop and re-use village at Nantycaws
- Re-use shop in Llanelli town centre
- Commercial recycling centre at Nantycaws
- Paint re-use facility

These projects add vital pieces of the jigsaw to Carmarthenshire's contribution to Wales becoming a leader in recycling. However, it is still required to develop our domestic waste collections to supplement these developments so that we can deliver against the objectives contained within the WG strategy.

Next Steps

Following the roll out of the interim service model in January the procurement of vehicles for the long-term solution needs to be undertaken in earnest, with routing and service design for the recycling collections commenced. This work delivers the necessary improvements in recycling quality and will dictate our capacity for the utilisation of ULEV vehicles in the longer term. We need to finalise the long-term depot configuration and service design proposals and commence design, planning and ultimately build of this centralised approach.

Waste Policy

With the impending waste changes roll out in January 2023, which have the strategic objective of improving kerbside domestic waste collections and increasing recycling capture in Carmarthenshire a change and formalisation of waste management policies is required. The waste policies that underpin our services have previously been fragmented, whereby sections of our policy approach have been amended or added to within separate reports and papers passed through the democratic process, as and when change is necessary or required with no public document to consolidate them.

To provide clarity to officers, Members, and the public, we have created a singular waste management policy document. This has been achieved through collating, amending, and updating existing policies to ensure the service is working towards a cohesive strategic approach to enable residents to reuse or recycle as much of their domestic waste as they can. This document outlines how Carmarthenshire County Council is to deliver the refuse and recycling collection services, our network of HWRC's and Re-use facilities as well as the actions required for householders to participate fully in the service to recycle and dispose of their waste.

**PWYLLGOR LLYWODRAETHU AC ARCHWILIO
16 RHAGFYR 2022**

DIWEDDARIAD RHAGLEN WAITH ARCHWILIO CYMRU

Y Pwrpas:

I nodi Diweddariad Rhaglen Waith Archwilio Cymru.

Yr argymhellion / penderfyniadau allweddol sydd eu hangen:

Nodi Diweddariad Rhaglen Waith Archwilio Cymru.

Y rheswm/rhesymau dros yr argymhelliad:

Nodi Diweddariad Rhaglen Waith Archwilio Cymru.

Angen ymgynghori â'r Pwyllgor Craffu perthnasol NAC OES

Angen i'r Cabinet wneud penderfyniad NAC OES

Angen i'r Cyngor wneud penderfyniad NAC OES

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

Y Gyfarwyddiaeth:

Gwasanaethau Corfforaethol

Awdur yr Adroddiad:

Archwilio Cymru

**EXECUTIVE SUMMARY
GOVERNANCE & AUDIT COMMITTEE
16 DECEMBER 2022**

AUDIT WALES –WORK PROGRAMME UPDATE

BRIEF SUMMARY OF PURPOSE OF REPORT.

To provide an update on the Audit Wales Work Programme.

DETAILED REPORT ATTACHED?

YES

IMPLICATIONS

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

Rhaglen Waith ac Amserlen Archwilio Cymru – Cyngor Sir Caerfyrddin

Diweddariad Chwarterol: 30 Medi 2022

Crynodeb Archwilio Blynyddol

Disgrifiad	Amserlen	Statws
Adroddiad yn crynhoi'r gwaith archwilio a gwblhawyd ers y Crynodeb Archwilio Blynyddol diwethaf, a gyhoeddwyd ym mis Ionawr 2021.	Ionawr 2022	Cyhoeddi adroddiad

Gwaith Archwilio Ariannol

Disgrifiad	Cwmpas	Amserlen	Statws
Gwaith Archwilio Ariannol 2020-21			
Archwilio datganiad o gyfrifon 2020-21 y Cyngor	I gadarnhau a yw'r datganiad o gyfrifon yn rhoi darlun cywir a theg.	Ionawr 2021 i Fedi 2021	Archwiliad wedi'i gwblhau. Datganiad o Gyfrifon wedi eu llofnodi gan yr Archwilydd Cyffredinol ar 27 Medi 2021.

Disgrifiad	Cwmpas	Amserlen	Statws
Gwaith Archwilio Ariannol 2020-21			
Archwiliad o ddatganiad cyfrifon 2020-21 y Cyngor Pensiwn	I gadarnhau a yw'r datganiad o gyfrifon yn rhoi darlun cywir a theg.	Ionawr 2021 i Hydref 2021	Archwiliad wedi'i gwblhau. Datganiad o Gyfrifon Iofnodwyd gan yr Archwilydd Cyffredinol ar 19 Hydref 2021.
Archwiliad Ffurflen 2020-21 ar gyfer Harbwr Porth Tywyn	Cadarnhau bod y datganiad wedi'i chwblhau'n gywir.	Ionawr 2021 i Hydref 2021	Archwiliad wedi'i gwblhau. Ffurflen wedi'i harchwilio wedi'i llofnodi Medi 2021.
Archwilio Ffurflen 2020-21 Partneriaeth Pensiwn Cymru	Cadarnhau bod y datganiad wedi'i chwblhau'n gywir.	Ionawr 2021 i Orffennaf 2021	Archwiliad wedi'i gwblhau. Ffurflen wedi'i harchwilio wedi'i llofnodi Gorffennaf 2021.
Archwilio Datganiad Cyfrifon 2020-21 Bargen Ddinesig Bae Abertawe	I gadarnhau a yw'r datganiad o gyfrifon yn rhoi darlun cywir a theg.	Ionawr 2021 i Orffennaf 2021	Archwiliad wedi'i gwblhau. Datganiad o Gyfrifon Iofnodwyd gan yr Archwilydd Cyffredinol ym mis Gorffennaf 2021.
Gwaith Archwilio Hawliad Grantiau 2020-21	Archwilio hawliadau yn unol â thelerau ac amodau'r grantiau.	Yn unol â'r terfynau amser unigol ar gyfer pob cais am grant.	Gwaith archwilio wedi'i gwblhau.

Disgrifiad	Cwmpas	Amserlen	Statws
Gwaith Archwilio Ariannol 2021-22			
Archwilio datganiad o gyfrifon 2021-22 y Cyngor	I gadarnhau a yw'r datganiad o gyfrifon yn rhoi darlun cywir a theg.	Ionawr 2022 i Dachwedd 2022	Gwaith archwilio yn mynd rhagddo.
Archwiliad o ddatganiad cyfrifon 2021-22 y Cyngor Pensiwn	I gadarnhau a yw'r datganiad o gyfrifon yn rhoi darlun cywir a theg.	Ionawr 2022 i Dachwedd 2022	Gwaith archwilio yn mynd rhagddo. Cyfrifon archwilio i'w harwyddo Tachwedd 2022.
Archwiliad Ffurflen 2021-22 ar gyfer Harbwr Porth Tywyn	Cadarnhau bod y datganiad wedi'i chwblhau'n gywir.	Ionawr 2022 i Dachwedd 2022	Gwaith archwilio yn mynd rhagddo. Ffurflen wedi'i harchwilio i'w harwyddo Tachwedd 2022.
Archwilio Ffurflen 2021-22 Partneriaeth Pensiwn Cymru	Cadarnhau bod y datganiad wedi'i chwblhau'n gywir.	Ionawr 2022 i Orffennaf 2022	Archwiliad wedi'i gwblhau. Ffurflen wedi'i harchwilio wedi'i llofnodi 29 Gorffennaf 2022.

Disgrifiad	Cwmpas	Amserlen	Statws
Gwaith Archwilio Ariannol 2021-22			
Archwilio Datganiad Cyfrifon 2021-22 Bargaen Ddinesig Bae Abertawe	I gadarnhau a yw'r datganiad o gyfrifon yn rhoi darlun cywir a theg.	Ionawr 2022 i Orffennaf 2022	Archwiliad wedi'i gwblhau. Datganiad o Gyfrifon lofnodwyd gan yr Archwilydd Cyffredinol ar 29 Gorffennaf 2022.
Gwaith Archwilio Hawliad Grantiau 2021-22	Archwilio hawliadau yn unol â thelerau ac amodau'r grantiau.	Yn unol â'r terfynau amser unigol ar gyfer pob cais am grant.	Gwaith archwilio oedd i fod i ddechrau Tachwedd/ Rhagfyr 2022.

Gwaith archwilio perfformiad

Gwaith archwilio perfformiad 2021-22	Cwmpas	Amserlen	Statws
Archwiliadau Deddf Llesiant Cenedlaethau'r Dyfodol (Cymru) 2015 (y Ddeddf LICD)	<p>Byddwn yn ceisio integreiddio'r gwaith o gyflawni ein harchwiliadau o dan LICD o'r camau i gyflawni amcanion lles ynghyd â'n gwaith archwilio arall. Byddwn yn trafod hyn gyda'r Cyngor wrth i ni gwmpasu a chyflawni'r prosiectau archwilio a restrir yn y cynllun hwn.</p>	Amherthnasol	Amherthnasol
Archwiliad adrodd ar welliannau	<p>Archwilio cyflawni dyletswydd i gyhoeddi asesiad o berfformiad.</p>	Tachwedd 2021	Cyflawn

<p>Sicrwydd as Aseu Risg</p>	<p>Prosiect i nodi lefel y sicrwydd archwilio a/neu lle y gallai fod angen gwaith archwilio ychwanegol yn y dyfodol mewn perthynas â risgiau i'r Cyngor roi trefniadau priodol ar waith i sicrhau gwerth am arian wrth ddefnyddio adnoddau.</p> <p>Yng Nghyngor Sir Caerfyrddin, mae'r prosiect yn debygol o ganolbwyntio ar:</p> <ul style="list-style-type: none"> • Sefyllfa ariannol • Trefniadau hunanasesu • Cynllunio adferiad • Goblygiadau Deddf Llywodraeth Leol ac Etholiadau (Cymru) • Cynlluniau i leihau carbon <p>Byddwn hefyd yn ymchwilio i rai o'r cynigion ar gyfer gwella a gyhoeddwyd yn adroddiadau cynharach Archwilio Cymru.</p> <ul style="list-style-type: none"> • Adolygiad Dilynol: Trosolwg a Chraffu sy'n Addas ar gyfer y Dyfodol. 	<p>Ebrill 2021 – Tachwedd 2022</p> <p>Gwaith maes yn mynd rhagddo.</p> <p>Cyhoeddwyd adroddiad terfynol i'r Cyngor ym mis Awst 2022</p> <p>Cyhoeddwyd adroddiad terfynol i'r Cyngor ym mis Medi 2022</p> <p>Adroddiad a gyhoeddwyd i'r Cyngor ym mis Awst 2022</p>	<p>Cyflawn</p> <p>Cyflawn</p>
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Gwaith archwilio perfformiad 2021-22	Cwmpas	Amserlen	Statws
Llamu Ymlaen – Archwilio'r blociau adeiladu ar gyfer dyfodol cynaliadwy	<p>Wrth i'r byd fynd yn ei flaen, gan ddysgu o'r pandemig byd-eang, mae'r adolygiad hwn yn edrych ar ba mor effeithiol y mae cynghorau'n cryfhau eu gallu i drawsnewid, addasu a chynnal y broses o ddarparu gwasanaethau, gan gynnwys y rhai a ddarperir mewn partneriaeth â rhanddeiliaid a chymunedau allweddol.</p>	<p>Hydref 2021 – Mai 2022</p>	<p>Cyflawn – dau adroddiad a gyhoeddwyd i'r Cyngor ym mis Medi 2022 (asedau a gweithlu).</p>

Gwaith archwilio perfformiad 2022-23	Cwmpas	Amserlen	Statws
<p>Sicrwydd as Asesu Risg</p>	<p>Prosiect i ganfod lefel sicrwydd archwilio a/neu lle bo angen gwaith archwilio ychwanegol yn ystod y blynyddoedd i'w dod o ran y risgiau i'r Cyngor roi trefniadau priodol ar waith i sicrhau gwerth am arian yn ei ddefnydd o adnoddau a gweithredu yn unol â'r egwyddor datblygu cynaliadwy.</p> <p>Mae'r prosiect yn debygol o ganolbwyntio'n benodol ar:</p> <ul style="list-style-type: none"> • Sefyllfa ariannol • Rheoli rhaglenni cyfalaf • Defnyddio gwybodaeth am berfformiad – gan ganolbwyntio ar adborth a chanlyniadau defnyddwyr gwasanaethau • Pennu amcanion llesiant <p>Byddwn hefyd yn ymchwilio i rai o'r cynigion ar gyfer gwella a gyhoeddwyd yn adroddiadau cynharach Archwilio Cymru.</p> <ul style="list-style-type: none"> • Adolygiad dilynol – Gwasanaethau Cynllunio 	<p>Ebrill 2022 – Medi 2023</p> <p>Adroddiad a gyhoeddwyd i'r Cyngor yn Hydref 2022</p>	<p>Ym mynd rhagddo</p> <p>Cyflawn</p>

Gwaith archwilio perfformiad 2022-23	Cwmpas	Amserlen	Statws
Adolygiad Thematig – Gofal heb ei Gynllunio	<p>Adolygiad traws-sector sy'n canolbwyntio ar lif cleifion allan o'r ysbyty. Bydd yr adolygiad hwn yn ystyried sut mae'r Cyngor yn gweithio gyda'i bartneriaid i ymdrin â'r risgiau sy'n gysylltiedig â darparu gofal cymdeithasol i fod o gymorth i ryddhau cleifion, yn ogystal ag atal mynd i mewn i'r ysbyty. Bydd y gwaith yn ystyried hefyd pa gamau a gymerir i ddarparu datrysiadau tymor canol i hir.</p>	<p>Awst 2022 – Chwefror 2023</p>	<p>Gwaith maes</p>
Adolygiad thematig – Digidol	<p>Mae'r prosiect hwn yn cael ei gwmpasu ac mae manylion ychwanegol am bwylais penodol yr adolygiad i'w cadarnhau.</p>	<p>I'w gadarnhau</p>	<p>Cwmpasu</p>

Astudiaethau cenedlaethol llywodraeth leol sydd wedi eu cynllunio/ar y gweill

Astudiaeth	Cwmpas	Amserlen	Statws	Gwaith maes wedi'i gynllunio yng Nghyngor Sir Caerfyrddin
Tlodi	Deall sut mae awdurdodau lleol yn sicrhau eu bod yn darparu eu gwasanaethau i leihau tlodi.	Hydref 2021 – Hydref 2022	Clirio – cyhoeddi Hydref 2022.	Oes – cyfweiliad gyda swyddog a enwebwyd yn y Cyngor.
Mentrau Cymdeithasol	Adolygiad o'r modd y mae awdurdodau lleol yn cefnogi ac yn defnyddio mentrau cymdeithasol i ddarparu gwasanaethau	Hydref 2021 – Hydref 2022	Clirio – cyhoeddi Tachwedd 2022.	Do – cyfweiliad gyda swyddog a enwebwyd yn y Cyngor.
Meithrin Cydnerthedd Cymdeithasol a Hunanddibyniaeth	Adolygu sut y gall awdurdodau lleol feithrin mwy o gydnerthedd mewn cymunedau	Hydref 2021 – Hydref 2022	Drafftio'r adroddiad.	Do – cyfweiliad gyda swyddog a enwebwyd yn y Cyngor.
Diogelwch adeiladau	Adolygiad o ba mor dda y mae awdurdodau lleol yn cyflawni eu cyfrifoldebau dros ddiogelwch adeiladau	Medi 2022 – Awst 2023	Cychwyn prosiect.	Do – cyfweiliad gyda swyddog a enwebwyd yn y Cyngor

Astudiaeth	Cwmpas	Amserlen	Statws	Gwaith maes wedi'i gynllunio yng Nghyngor Sir Caerfyrddin
Cynllunio ar gyfer datblygu cynaliadwy– Adfywio Tir Ilwyd	Adolygu sut mae awdurdodau lleol yn hybu ac yn galluogi gwell defnydd o anheddau annomestig gwag a safleoedd tir llwyd	Hydref 2022 – Medi 2023	Datblygu'r prosiect.	Do – cyfweiliad gyda swyddog a enwebwyd yn y Cyngor
Cyd-bwyllgorau Corfforedig	Asesu cynnydd Cyd-bwyllgorau Corfforedig wrth ddatblygu eu trefniadau i gyflawni eu rhwymedigaethau statudol a nod Llywodraeth Cymru o gryfhau cydweithio rhanbarthol.	Medi 2022 – Ionawr 2023	Paratoi gwaith maes.	Ydym – Rydym yn archwilio safbwynt y Cyngor trwy ein cyfarfodydd cyswllt arferol. Mae'r gwaith maes yn cynnwys cyfweiliadau gyda'r prif weithredwr, cyfarwyddwr cyllid a chadeirydd pob un o'r pedwar Cyd-bwyllgor Corfforedig.

Estyn

Gwaith arfaethedig Estyn 2022-23	Cwmpas	Amserlen	Statws
<p>Arolygiadau Gwasanaethau Addysg Llywodraeth Leol</p>	<p>Gwnaeth Estyn archwilio gwasanaethau addysg llywodraeth leol Ynys Môn ac Abertawe yn ystod tymor yr haf. Cafodd yr adroddiadau eu cyhoeddi ym mis Awst a dechrau Medi. Fe wnaeth Estyn gynnal cynhadledd gwella ôl-arolygu yn Nhorfaen ym mis Medi a bydd yn monitro awdurdod lleol Sir Benfro ddechrau Mis Hydref. Mae Estyn wedi diweddarau'r canllawiau arolygu er mwyn adlewyrchu mwy o bwyslais ar anfantais economaidd-gymdeithasol ac annhegwch ac i wneud mân newidiadau mewn ymateb i adborth arolygiadau yn 2021-22.</p>	<p>Adolygiad o'r canllaw arolygu – Gorffennaf. Cyhoeddwyd ar y wefan Medi 1.</p>	<p>Amh.</p>
<p>Adolygiad thematig Diwygio'r Cwricwlwm</p>	<p>Mae Llywodraeth Cymru hefyd wedi gofyn i Estyn adolygu gwasanaethau gwella ysgolion y de-orllewin.</p>	<p>Casglu tystiolaeth ym mis Mehefin/Gorffennaf – cyflwyno canfyddiadau i Lywodraeth Cymru ym mis Medi.</p>	<p>Amh.</p>

Arolygiaeth Gofal Cymru (AGC)

Gwaith Cynlluniedig AGC 2022-23	Cwmpas	Amserlen	Statws
Rhaglen 2022-23	Rydym yn parhau i brofi a gwerthuso ein dull wedi'i adfywio – gan gynnwys gwiriadau sicrwydd, gwiriadau gwella, ac arolygiadau gwerthuso perfformiad (PEIs). Bydd hyn yn arwain at fframwaith gweithredu diwygiedig ar gyfer archwilio a chod ymarfer diwygiedig.	Ebrill 2022 – Mawrth 2023	Ar waith
Gwaith ar y cyd	<p>Rydym yn parhau i weithio gyda phartneriaid, gan rannu gwybodaeth a deallusrwydd gan gynnwys cwblhau adolygiadau ar y cyd.</p> <p>Ar hyn o bryd rydym yn gweithio ar y cyd ag AGIC ar adolygiad cenedlaethol o'r llwybr strôc ac archwiliadau CMHT.</p>	Cyfredol	Ar waith
Trefniadau Diogelu rhag Colli Rhyddid Adroddiad Monitro Blynyddol ar gyfer Iechyd a Gofal Cymdeithasol 2021-22	Yn dilyn cyhoeddi adroddiad 2020-21, mae cynllunio ar y gweill ar gyfer cadarnhau dyddiad cyhoeddi'r adroddiad nesaf.	Cyhoeddi i'w gadarnhau	Drafftio/casglu data.
Cyfarfod blynyddol gyda Chyfarwyddwyr Statudol y Gwasanaethau Cymdeithasol	Bydd AGC yn cyfarfod â'r holl Gyfarwyddwyr Gwasanaethau Cymdeithasol	Rhagfyr 2022 ac Ionawr 2023	Cynllunio

Gwaith Cynlluniedig AGC 2022-23	Cwmpas	Amserlen	Statws
<p>Adolygiad cenedlaethol o gynllunio gofal i blant a phobl ifanc sy'n destun rhag-achosion yr Amlinelliad Cyfraith Gyhoeddus</p>	<p>Diben yr adolygiad</p> <p>Darparu gwaith craffu allanol, sicrwydd a hyrwyddo gwelliant o ran ansawdd ymarfer mewn perthynas â chynllunio gofal ar gyfer plant a phobl ifanc sy'n ddarostyngedig i rag-achosion amlinelliad cyfraith cyhoeddus.</p> <p>Ystyried i ba raddau mae ymarfer wedi symud ymlaen ers cyhoeddi 'Adolygiad cenedlaethol o gynllunio gofal i blant a phobl ifanc sy'n ddarostyngedig i rag-achosion Amlinelliad Cyfraith Gyhoeddus' gan AGC a chyhoeddi Adroddiad gweithgor Amlinelliad Cyfraith Gyhoeddus 2021 gan gynnwys arweiniad i arfer gorau.</p>	<p>Medi 2022</p>	<p>Cynllunio/ arolygu</p>
<p>Trefniadau Cyd-arolygiad Diogelu Plant</p>	<p>Dull traws-arolygiaeth. Meysydd i'w penderfynu. Byddwn yn cwblhau pedwar arolygiad ar y cyd aml-asiantaeth arall.</p> <p>Byddwn yn cyhoeddi adroddiad cenedlaethol tuag at ddiwedd 2023.</p>	<p>Hydref 2022 – Gwanwyn 2023</p>	<p>Cynllunio</p>

Gwaith Cynlluniedig AGC 2022-23	Cwmpas	Amserlen	Statws
Gwiriad Sicrwydd Cafcass	<p>Bydd AGC yn parhau i ddatblygu ei dull o arolygu ac adolygu Cafcass Cymru. Rydym wedi cyhoeddi ei lythyr gwirio sicrwydd cyntaf.</p> <p>Byddwn yn gwerthuso ein dull gweithredu a byddwn yn ymgynghori ar ein dull diwygiedig ddiwedd 2022. Bydd hyn yn arwain at fframwaith gweithredu diwygiedig i'w harchwilio a'r cod ymarfer.</p>	Medi – Rhagfyr 2022	Cynllunio

Adroddiadau cenedlaethol Archwilio Cymru ac allbynnau eraill a gyhoeddwyd ers Ionawr 2022

Teitl yr adroddiad	Dyddiad cyhoeddi a doleri i'r adroddiad
Asesiadau o'r Effaith ar Gydraddoldeb: Mwy nag Ymarfer Blwch Ticio?	Medi 2022
Llywodraeth Cymru – pennu amcanion llesiant	Medi 2022
Cynllunio a rheoli'r gweithlu gan Lywodraeth Cymru	Medi 2022
Offeryn Data Cyllid GIG Cymru – hyd at Fawrth 2022	Awst 2022

Teitl yr adroddiad	Dyddiad cyhoeddi a dolen i'r adroddiad
Parodrwydd y Sector Cyhoeddus ar gyfer Carbon Sero Net erbyn 2030 Adroddiad Tystiolaeth	Awst 2022
Parodrwydd y Sector Cyhoeddus ar gyfer Carbon Sero Net erbyn 2030	Gorffennaf 2022
Twristiaeth Gynaliadwy ym Mharciau Cenedlaethol Cymru	Gorffennaf 2022
Cronfa Ymateb COVID-19 Trydydd Sector – Memorandwm ar gyfer y Pwyllgor Cyfrifon Cyhoeddus a Gweinyddiaeth Gyhoeddus	Gorffennaf 2022
System Wybodaeth Gofal yn y Gymuned Cymru – diweddariad – diweddariad	Gorffennaf 2022
Mynd i'r afael â'r Ôl-groniad Gofal Arfaethedig yng Nghymru – ac offeryn data amseroedd aros	Mai 2022
Y Cwricwlwm newydd i Gymru	Mai 2022
Gofal heb ei drefnu – offeryn data a sylwebaeth	Ebrill 2022
Taliadau Uniongyrchol ar gyfer Gofal Cymdeithasol i Oedolion	Ebrill 2022
Offeryn Data Cynaliadwyedd Ariannol Llywodraeth Leol	Chwefror 2022

Teitl yr adroddiad	Dyddiad cyhoeddi a doleri'r adroddiad
Cydweithio rhwng y Gwasanaethau Brys (gan gynnwys offeryn data)	<u>Ionawr 2022</u>

Adroddiadau cenedlaethol Archwilio Cymru ac allbynnau eraill (gwaith ar y gweill/cynlluniedig)¹

Teitl	Dyddiad cyhoeddi disgwyliedig
Sylwebaeth cyfrifon Llywodraeth Cymru 2020-21 ²	Medi/Hydref 2022
Trefniadau ar y cyd ar gyfer rheoli adnoddau iechyd cyhoeddus lleol	Hydref 2022
Y Fenter Twyll Genedlaethol (adroddiad cryno)	Hydref 2022
Gwaith dilynol ar seibrgadernid (dysgu o ymosodiadau seibr)	Hydref 2022
Rheoli perygl llifogydd	Tachwedd 2022
Gwasanaethau orthopedig	Tachwedd 2022
Llywodraethu ansawdd yn y GIG	Tachwedd 2022
Cynhwysiant digidol	Tachwedd/Rhagfyr 2022

¹ Byddwn yn parhau i adolygu ein cynlluniau'n gyson, gan ystyried yr amgylchedd allanol sy'n esblygu, ein blaenoriaethau archwilio, cyd-destun ein hadnoddau ein hunain a gallu cyrrff archwiliedig i gyfathrebu â ni. Mae hyn yn cynnwys cynnal rhywfaint o hyblygrwydd er mwyn i ni allu ymateb i ddatblygiadau ym mholisi Llywodraeth Cymru a meysydd sydd o ddiddordeb posib i'r Pwyllgor Cyfrifon Cyhoeddus a Gweinyddiaeth Gyhoeddus. Ar 22 Medi, cyhoeddwyd erthygl i'n gwefan yn rhoi diweddariad am ddatblygiad rhaglen waith yr Archwilydd Cyffredinol yn dilyn ein hymgyngoriad yng ngwanwyn 2022. Byddwn ni'n dod â pheth gwaith newydd ychwanegol i'n rhaglen yn ystod gweddill 2022-23.

² I gynnwys sylwebaeth ar faterion a godwyd yn adroddiad yr Archwilydd Cyffredinol ar y cyfrifon ynghylch taliad a wnaed i'r cyn-Ysgrifennydd Parhaol a chymorth busnes COVID-19.

Teitl	Dyddiad cyhoeddi disgwylidig
Tai fforddiadwy	I'w gadarnhau

Digwyddiadau ac adnoddau Cyfnewid Arfer Da

Teitl	Dolen i'r adnodd
Mynd i'r afael â thlodi yng Nghymru: ymateb i'r her – bydd y digwyddiad dysgu a rennir hwn yn dod â phobl ynghyd o bob rhan o wasanaethau cyhoeddus i rannu syniadau, dysgu a gwybodaeth am sut gall sefydliadau ymateb i'r heriau a achosir gan dlodi. Byddwn yn rhannu enghreifftiau o ddulliau sy'n cael eu cymryd gan sefydliadau yng Nghymru a ledled y DU.	Mynd i'r Afael â Thlodi: Digwyddiad Caerdydd Mynd i'r Afael â Thlodi: Digwyddiad Conwy
Darpariaeth Taliadau Uniongyrchol – gweminar sy'n trafod ein hadroddiad ar ddarpariaeth taliadau uniongyrchol a sut y gallant fod yn rhan allweddol wrth weithredu egwyddorion Deddf Gwasanaeth Cymdeithasol a Llesiant (Cymru) 2014.	Recordiad gweminar Darpariaeth Taliadau Uniongyrchol
Ymateb i'r Argyfwng Hinsawdd yng Nghymru – gweminar yn trafod canfyddiadau sy'n dod i'r amlwg o'n hadolygiad sylfaenol o drefniadau cyrff cyhoeddus i ymateb i dargedau lleihau carbon Llywodraeth Cymru ar gyfer 2030.	Recordiad Ymateb i Argyfwng Hinsawdd Cymru
Safbwyntiau Covid – cyfres o sgysiau wedi'u recordio yn dysgu sut mae sefydliadau wedi addasu i'r cyfnod	Safbwyntiau Covid: Ymgysylltu a Chyfathrebu

estynedig o ansicrwydd yn dilyn cyfnod cychwynnol argyfwng COVID.

Blogiau Diweddar Archwilio Cymru

Teitl	Cyhoeddiad
<u>Costau byw a rhoi'r fidog i gadw</u>	21 Medi 2022
<u>Mae pethau'n poethi i fynd i'r afael â Newid Hinsawdd</u>	18 Awst 2022
<u>Taliadau Uniongyrchol yng Nghymru</u>	15 Mehefin 2022
<u>Gofal Heb ei Drefnu yng Nghymru – System o dan bwysau gwirioneddol.</u>	21 Ebrill 2022
<u>Cystadleuaeth Sgiliau Cymru</u>	18 Chwefror 2022
<u>Seibergadernid – blwyddyn ymlaen</u>	9 Chwefror 2022
<u>Helpu i adrodd y stori drwy gyfrwng rifau</u> (Offeryn data cynaliadwyedd ariannol llywodraeth leol)	3 Chwefror 2022
<u>Galwad am wybodaeth gliriach yn glŷn â gwariant ar newid yn yr hinsawdd</u>	2 Chwefror 2022
<u>Y gweithredoedd tu ôl i'r geiriau</u> (adeiladu gwytnwch cymdeithasol a hunanddibyniaeth mewn dinasyddion a chymunedau)	14 Ionawr 2022

Mae'r dudalen hon yn wag yn fwriadol

PWYLLGOR LLYWODRAETHU AC ARCHWILIO 16 RHAGFYR 2022

Y DIWEDDARAF YNGHYLCH AR CYNLLUN ARCHWILIO MEWNOL 2022/23

Yr Argymhellion / Penderfyniadau Allweddol Sydd Eu Hangen:

I dderbyn yr adroddiad.

Y Rhesymau:

Cyflwynir adroddiad cynnydd yn rheolaidd bob tro mae'r Pwyllgor Llywodraethu ac Archwilio yn cyfarfod.

Ymgynghorwyd â'r pwyllgor craffu perthnasol: NADDO

Angen i'r Cabinet wneud penderfyniad: NAC OES

Angen i'r Cyngor wneud penderfyniad: NAC OES

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

Cyng. A Lenny

Y Gyfarwyddiaeth:

Gwasanathau Corfforaethol

Enw Pennaeth y

Gwasanaeth:

Helen Pugh

Awdur yr Adroddiad:

Caroline Powell

Swyddi:

Pennaeth Refeniw a
Chydymffurfio Ariannol

Prif Archwilydd

Rhif ffôn: 01267 246223

Cyfeiriad e-bost:

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**EXECUTIVE SUMMARY
GOVERNANCE & AUDIT COMMITTEE
16 DECEMBER 2022**

INTERNAL AUDIT PLAN UPDATE 2022/23

1. BRIEF SUMMARY OF PURPOSE OF REPORT.

To provide Members with progress of the Internal Audit Plan. The following Report is attached:

Internal Audit Plan Progress Report for 2022/23

DETAILED REPORT ATTACHED?

YES

IMPLICATIONS

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

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

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

Finance

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

CONSULTATIONS

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

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

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

CABINET PORTFOLIO HOLDER(S)
AWARE/CONSULTED: Yes

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

Title of Document	File Ref No.	Locations that the papers are available for public inspection
Internal Audit Plan 2022/23	AC 11-03-22	Agenda for Governance & Audit Committee on Friday, 11th March, 2022, 10.00 am

Mae'r dudalen hon yn wag yn fwriadol

INTERNAL AUDIT PLAN 2022/23										
2022/23		Plan Completion to Date:		49.0%						
Job No	Departments	Days Planned	Pre-Audit Meeting	Terms of Reference Issued	Commenced	Field Work Complete	Draft Report Issued	Complete / Final Report Issued	Actual Days	Assurance Rating / Engagement Type
Fundamentals										
1122001	Capital Accounting including Fixed Asset Register	20	*	*	*					
1122002	Cash & Bank	15	*	*	*	*	*	*		
1122003	Creditor Payments	30								
1122004	Debtors System	20	*	*	*	*				
1122005	Housing Benefits	20	*	*	*	*				
1122006	Payroll System	30								
1122007	Pensions Payroll System	20	*	*	*	*	*	*	18	High
1122008	VAT	15	*	*	*					
Corporate Governance Assurance										
2122001	Annual Governance Statement/Corporate Governance Arrangements	20								
2122002	Regulatory Recommendations	10								
2122003	Data Protection	20								
2122004	Welsh Language Standards	20	*	*	*					
2122005	Freedom of Information	20	*	*	*					
2122006	Risk Management Arrangements	10	*							
COVID-19										
3122001	COVID-19 Duplication Checks and Payments	40	*	/	*					
3122002	COVID-19 Systems and Processes	20	*	/	*					
3122003	COVID-19 Working Groups	10	*	/	*					
Corporate Review Work										
4122001	CCC Companies	30								
4122002	Contract Management	20	*	*	*					
4122003	Procurement	20	*	*	*	*	*			
4122004	Safeguarding - Adults	10	*	*	*					
4122005	Safeguarding - Children	10	*	*	*					
4122006	Staffing Matters	20	*	*	*					
Counter Fraud										
5122001	Fraud Prevention, Detection and Investigation	40	*	/	*					
5122002	Proactive Fraud Testing	20	*	/	*					
Grants & Certification										
6122001	Burry Port Harbour	10	*	/	*	*	/	*	12	Accounts Return
6122002	Children & Communities Grant	25	*	/	*	*	/	*	16	Certification
6122003	RCSIG - Regional Consortia Support Improvement Grant (EIG) - EOY	15	*	/	*	*	/	*	37	Certification
6122004	RCSIG - Regional Consortia Support Improvement Grant (EIG) - Q3	15								
6122005	Enable Grant	10	*	/	*	*	/	*	11	Certification
6122006	Housing Support Grant - Homelessness	12	*	/	*	*	/	*	7	Certification

6122007	Housing Support Grant - Rent Smart Wales	10	*	/	*	*	/	*	5	Certification
6122008	Housing Support Grant - Supporting People	13	*	/	*	*	/	*	13	Certification
6122009	Local Authority Education Grant	20	*	/	*					
6122010	Other Grants (where assurance is required for sign-off)	20								
6122011	Wales Pension Partnership	5	*	/	*	*	/	*	4	Accounts Return
6122012	Post 16 Grant	10	*	/						
6122013	Pupil Deprivation Grant - EOY	15	*	/	*	*	/	*	33	Certification
6122014	Pupil Deprivation Grant - Q3	15								
6122015	Trust Funds - Arbour Stephens	5	*	*	*	*	/	*	5	Certification
6122016	Trust Funds - Dyfed Welsh Church Fund	5	*	*	*	*	/	*	9	Certification
6122017	Trust Funds - Minnie Morgan	5	*	*	*	*	/	*	4	Certification
6122018	Trust Funds - Oriol Myrddin	5	*	*	*	*				
6122019	Regional Development Coordinator Grant	5	*	/	*	*	/	*	3	Certification
	Chief Executive's Department (not incl IT)									
7122001	Departmental Income	15	*	*	*					
7122002	Local Government & Elections Act	10								
7122003	Net Zero Carbon	20								
7122004	Regeneration & Economic Development: CRF	10								
7122005	Regeneration & Economic Development	10								
7122006	PMP: Workforce Planning	20								
	Chief Executive's Department: IT									
7222001	Cyber Security	15								
7222002	Disaster Recovery and Business Continuity	15	*	*	*	*	*			
	Communities									
7322001	Departmental Income	15	*	*	*	*	*			
7322002	Disabled Facilities Grants (DFGs)	15	*	*	*	*	*			
7322003	Disrepair Claims	15	*	*	*	*	*			
7322004	Leisure: Health, Fitness & Dryside portfolio	20	*	*	*					
7322005	Social Care (Assignment to be agreed)	20	*							
	Corporate Services									
7422001	Departmental Income	15	*	*	*					
7422002	Corporate Credit Card	15	*	*	*					
	Education & Children									
7522001	Departmental Income	15	*	*	*					
7522002	Youth Support Service Pre-paid Cards	15	*							
7522003	Schools Expenditure	30	*	*	*	*	*			
7522004	Schools (incl School Questionnaires)	20	*	*	*	*	*			
7522004	School Visits 1	10	*	*	*	*	*			
7522004	School Visits 2	10	*	*	*	*	*			
7522005	Welfare Cards	10	*	*	*					
	Environment									

7622001	Departmental Income	15	*	*	*						
7622002	Fleet Management	10	*								
7622003	Waste	15	*	*	*						
7622004	Planning: Development Management	20	*	*	*						
7622005	Property	10									
7622005	Property - Consultancy	5	*	*	*	*					
7622006	Asset Management	15	*	*	*	*	*				
	Additonal										
8122001	Departmental Advisory Work	40	*	/	*						
8222001	Various Departmental Working Groups	40	*	/	*						

Mae'r dudalen hon yn wag yn fwriadol

Eitem Rhif 6

PWYLLGOR LLYWODRAETHU AC ARCHWILIO
16 RHAGFYR 2022

**CYNNYDD O RAN ARGYMHELLION YR ADRODDIAD
RHEOLEIDDIO**

Pwrpas

Amlinellu'r cynnydd o ran argymhellion yr adroddiad rheoleiddio.

Yr argymhellion / penderfyniadau allweddol sydd eu hangen:

I nodi a derbyn yr adroddiad.

Y rhesymau:

O dan Ddeddf Llywodraeth Leol (Cymru) 2011- mae'n ofynnol i'r Pwyllgor Archwilio ddilyn argymhelliad yr adroddiad rheoliadol. Paragraffau 9.16 i 9.19.

Angen i'r Cabinet wneud penderfyniad: AMHERTHNASOL

Angen i'r Cyngor wneud penderfyniad: AMHERTHNASOL

Yr aelod o'r cabinet sy'n gyfrifol am y portffolio:- Cyng. Philip Hughes

Y Gyfarwyddiaeth:

Y Prif Weithredwr /
Gwasanaethau Corfforaethol

Enwau'r Penaethiaid Gwasanaeth:

Noelwyn Daniel

Helen Pugh

Awdur yr adroddiad:

Robert James

Swyddi:

Pennaeth TGCh a Pholisi
Corfforaethol

Pennaeth Refeniw a Chydymffurfiaeth
Ariannol

Rheolwr Perfformiad Strategol

**Rhifau ffôn /
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EXECUTIVE SUMMARY

GOVERNANCE & AUDIT COMMITTEE

16 DECEMBER 2022

PROGRESS ON REGULATORY REPORT RECOMMENDATIONS

Introduction

1. The Council monitors regulatory report recommendations on its Performance Information Monitoring System (PIMS).
2. Contained within the report are:
 - on-going recommendations from past reports that are still active
 - recommendations that have been completed and closed during the last year
3. There are two main types of report:
 - National reports. Sometimes recommendations made in these reports will not apply to Carmarthenshire e.g. the best practice being recommended may already be established practice.
 - Local reports specific to Carmarthenshire County Council.
4. Some regulatory report recommendations are extremely long and detailed. Some have been summarised for the purposes of this report. The original full recommendations can be viewed in the original reports.
5. In the Wales Audit Office report on Audit Committee Effectiveness (July 2018), there was a Proposal for Improvement that we should strengthen arrangements for tracking actions taken to address recommendations in regulatory reports. This process addresses this proposal.

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: Noelwyn Daniel, Head of ICT & Corporate Policy

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

1. Policy, Crime & Disorder and Equalities

Item 6 of the terms of reference of the Governance and Audit Committee requires oversight of the Authority's external audit arrangements, including:

- a) monitoring the adequacy and effectiveness of the External Audit service and to respond to its findings;
- b) discuss with the external auditor the nature and scope of the audit of the County Council's services & functions, and consider the external audit fee and terms of engagement;
- c) receiving and considering external audit reports and management letters and advising Full Council as appropriate;
- d) **monitoring Management's response to the external auditor's findings and the implementation of the external auditor's recommendations (*the purpose of this report*)**

2. Legal

The Local Government Act (Wales) 2011 – Statutory Guidance identifies that Audit Committee should:-

- *receive the reports from external auditors and follow up their recommendations for the year.*

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

1. Scrutiny Committee request for pre-determination	NA
If yes include the following information: -	
Scrutiny Committee	
Date the report was considered:-	
Scrutiny Committee Outcome/Recommendations:-	
2. Local Member(s)	
NA	
3. Community / Town Council	
NA	
4. Relevant Partners	
NA	
5. Staff Side Representatives and other Organisations	
NA	
CABINET MEMBER PORTFOLIO HOLDER(S) AWARE/CONSULTED	Include any observations here
Not Applicable	

Section 100D Local Government Act, 1972 – Access to Information		
List of Background Papers used in the preparation of this report:		
Title of Document	File Ref No.	Locations that the papers are available for public inspection
Audit Committee Effectiveness- Carmarthenshire County Council- July 2018.		Link
Statutory Guidance from the Local Government Measure 2011 Chapter 9		Link



REGULATORY RECOMMENDATIONS

ANNUAL REPORT 2022

(from December 2021 to December 2022
ON-GOING and COMPLETED recommendations)

FOR AUDIT & GOVERNANCE COMMITTEE

16TH DECEMBER 2022

REGULATORY RECOMMENDATIONS		
	NO.	%
ON TARGET (COMBINED – ONGOING & COMPLETED)	40	100%
OFF TARGET	0	0%
ON TARGET (ON-GOING)	11	28%
ON TARGET (COMPLETED)	29	72%
TOTAL	40	

INDEX

RECOMMENDATIONS

that are on-going/been completed during the last 12 months

REGULATOR	REPORT	PAGE
Audit Wales National Report	How Local Government Uses Data (Dec 18)	3
Audit Wales Local Report	Well-being of Future Generations: An examination of 'Start Well - Help children to live healthy lifestyles' (Feb 19)	4
Audit Wales National Report	The Effectiveness of Local Planning Authorities in Wales (June 19)	4
Audit Wales Local Report	Review of Risk Management Arrangements (July 19)	5
Audit Wales National Report	'Raising Our Game' - Tackling Fraud in Wales (July 20)	5
Audit Wales National Report	Rough Sleeping in Wales – Everyone's Problem; No One's Responsibility (July 20)	6
Care Inspectorate Wales National Report	National review of care homes for people living with dementia (Sep 20)	7
Audit Wales National Report	Commercialisation in Local Government (Oct 20)	7
Audit Wales Local Report	Review of Waste Services – Carmarthenshire County Council (July 21)	8
Audit Wales Local Report	Regenerating Town Centres in Wales (Sep 21)	10

ON TARGET

How Local Government Uses Data (Dec 18)

On-going

Objective: WAO/NAT: How Local Government Uses Data (Dec 18)			
Action	14407	Target date	31/03/2023
Action promised	Data Culture: LA's need: to have a clear vision that treats data as a key resource; to establish corporate data standards & coding; to undertake an audit; & create a central integrated customer account as a gateway to services		
Comment	We have decided due to changes in major software solutions not to pursue further our single customer account. This will only be used if there is no major back-office application available. We continue to develop the Data Insights Strategy that will clearly outline our vision for maximising the use of data across the Authority.		
Service Head: Noelwyn Daniel		Performance status: On target	

Action	14409	Target date	31/03/2023
Action promised	Upskill staff: LA's: to identify staff who have a role in analysing & managing data to remove duplication & free up resources to build & develop capacity in data usage; & to invest & support development of staff data analytical, mining & segmentation skills		
Comment	Our approach here will be addressed within the Data Insights Strategy that is being currently developed. It will take into account the various aspects of this recommendation.		
Service Head: Noelwyn Daniel		Performance status: On target	

Action	14410	Target date	31/03/2023
Action promised	Data-driven decision-making culture: LA's: to set data reporting standards to ensure minimum data standards underpin decision making; and to make more open data available		
Comment	Work has commenced on a detailed programme of activity and the formulation of a new Data Insight Strategy that will address matters raised within this recommendation.		
Service Head: Noelwyn Daniel		Performance status: On target	

Completed 31/03/2022

Objective: WAO/NAT: How Local Government Uses Data (Dec 18)			
Action	14408	Target date	31/03/2021 (original target 31/03/2020)
Action promised	Data Protection Responsibilities: LA's: to provide refresher training to service managers to ensure they know when & what data they can & cannot share; & review/update data sharing protocols to support services to deliver their data sharing responsibilities		
Comment	Refresher training sessions have now been arranged for DMTs and are in the process of being delivered. Some will be completed in April 2022.		
Service Head: Noelwyn Daniel		Performance status: On target	

Well-being of Future Generations: An examination of 'Start Well - Help children to live healthy lifestyles' (Feb 19)

Completed 30/09/2022

Objective: WAO/LOC: Well-being of Future Generations: An examination of 'Start Well - Help children to live healthy lifestyles' (Feb 19)			
Action	14298	Target date	31/03/2020
Action promised	Corporate: Develop a system to provide assurance at a corporate level that the Council is considering the five ways of working in the actions to deliver the well-being objectives		
Comment	The Integrated impact Assessment (IIA) has been completed and is ready to go live early next year with the adjustment for the new Corporate Strategy Well-being Objectives.		
Service Head:	Noelwyn Daniel	Performance status:	On target

The Effectiveness of Local Planning Authorities in Wales (June 19)

Completed 31/03/2022

Objective: WAO/NAT: The Effectiveness of Local Planning Authorities in Wales (June 19)			
Action	14471	Target date	30/04/2022 (original target 31/03/2020)
Action promised	Local Planning Authorities improve the effectiveness of planning committees by: reviewing their scheme of delegation to ensure planning committees are focussed on the most important strategic issues relevant to their authority		
Comment	The revised scheme of delegation to officers and the protocol on representations to the County Council on Planning Committee was approved at the meeting of the County Council on the 2nd February 2022. The revised scheme of delegation has been published on the County Council webpages.		
Service Head:	Rhodri Griffiths	Performance status:	On target

Action	14514	Target date	31/03/2022 (original target 31/03/2020)
Action promised	Local Planning Authorities: improve transparency and accountability by holding planning meetings at appropriate times, rotating meetings to take place in areas which are subject to proposed development, webcasting meetings and providing opportunities for stakeholders to address committee meetings		
Comment	Webcasting already undertaken with stakeholders are allowed to speak subject to the relevant protocol. The adoption of Webcasting has provided enhanced opportunities for those interested in viewing the work of the planning committee as well as improving accessibility and accountability. This has also negated the value of moving the planning committee to different locations. It is noted that varying the times might prove be problematic as the meetings are quite often lengthy dependent on the number and complexity of applications being considered. The matter may be further considered in light of any future demand and access issues and would require further investigation as we emerge from Covid restrictions. Whilst a response to Covid the move to virtual/remote Planning Committee meetings has enabled third parties to also join the meetings to provide their representations remotely increasing accessibility.		
Service Head:	Rhodri Griffiths	Performance status:	On target

Action	14519	Target date	31/03/2023 (original target 31/03/2021)
Action promised	Local Planning Authorities improve the effectiveness of planning committees by enforcing the local planning authorities' standards of conduct for meetings		
Comment	The role of the planning committee will be reinforced through quarterly reporting of core planning performance measures including planning appeals. The reporting of performance is to be a standing item on the agenda to ensure appropriate awareness of decision-making outcomes. The responsibilities under the standards of conduct is conveyed through a revised introduction presented by the legal officers and in the advice to committee to members during by officers and where appropriate the Chair.		
Service Head:	Rhodri Griffiths	Performance status:	Closed at 85% complete

Review of Risk Management Arrangements (July 19)

On-going

Objective: WAO/LOC: Review of Risk Management Arrangements (July 19)			
Action	14302	Target date	31/03/2023 (original target 31/03/2020)
Action promised	Procedures and Guidance: The Council should develop suitable procedures and guidance to underpin its risk management strategy to ensure that risk management is consistently embedded across the organisation.		
Comment	Risk management has met with colleagues in the business development unit to progress the risk management intranet page. Business development now have access and documents (Welsh & English version) are being checked prior to uploading.		
Service Head:	Helen Pugh	Performance status:	On target

Action	14303	Target date	31/03/2023 (original target 31/03/2020)
Action promised	Risk Appetite: The Council should define its corporate risk appetite to ensure that it manages risks and opportunities effectively.		
Comment	Session held for CMT and HOS on 27th September facilitated by an external provider. Risk appetite statement to be drafted and forwarded to CMT for approval.		
Service Head:	Helen Pugh	Performance status:	On target

Action	14307	Target date	31/03/2021 (original target 31/03/2020)
Action promised	The Council to Improve Effectiveness by: training staff; regularly seeking assurance on effectiveness of all aspects of its arrangements & acting on findings; & embedding process for identifying lessons learned & sharing good practice across organisation		
Comment	The risk steering group includes feedback on completed risk bids to ascertain if the risk posed has been addressed and the lessons learnt. The bid forms are currently being updated to incorporate a section on what risks are mitigated and how, and after completion it can be demonstrated. This will be presented to the working groups for sign off in October 2021.		
Service Head:	Helen Pugh	Performance status:	On target

Completed 31/03/2022

Objective: WAO/LOC: Review of Risk Management Arrangements (July 19)			
Action	14305	Target date	31/03/2022 (original target 31/03/2020)
Action promised	Roles & Responsibilities: The Council should review and clarify the roles and responsibilities of: Managers, Staff, Risk Champions, The Risk Management Steering Group in its risk management arrangements		
Comment	Risk Management Toolkit accepted by the Risk Management Steering Group on 11th November 2021. The Risk Management Toolkit was translated in December 2021. The Risk Management Intranet Page is being developed and the Risk Management Toolkit will be available on this page. Terms of reference for the Risk Management Steering Group, Property & Liability Risks Working Group, Transport Risks Working Group and Contingency Planning Working Group accepted by the Risk Management Steering Group on 11th November 2021. The Terms of Reference will be available on the Risk Management Intranet Page when developed. An exercise has been undertaken that representative is correct on the working Groups.		
Service Head:	Helen Pugh	Performance status:	On target

Action	14306	Target date	31/03/2022 (original target 31/03/2020)
Action promised	Risk Management System: The Council should: clarify system it is using to identify & capture risks to ensure consistency in approach across the organisation; & review the information recorded on risk registers throughout the organisation to ensure information is up to date, complete, & has enough detail to ensure risks can be appropriately managed		
Comment	New process for updating the Corporate Risk Register has been introduced & is working well. Departmental editors nominated and training provided. Departmental editors providing updates to corporate risks directly to the JCAD CORE system and the updates are reported to CMT with the performance management information. Awareness on Project Risk Registers and Implementation of Project Risk Registers have commenced.		
Service Head:	Helen Pugh	Performance status:	On target

'Raising Our Game' - Tackling Fraud in Wales (July 20)

On-going

Objective: WAO/NAT: 'Raising Our Game' - Tackling Fraud in Wales (July 20)			
Action	14750	Target date	31/03/2021
Action promised	Policies & Training: Staff working across the Welsh public sector should receive fraud awareness training as appropriate to their role in order to increase organisational effectiveness in preventing, detecting & responding to fraud.		
Comment	Awaiting L&D Departmental review before a fraud e-learning module can be developed. Continuing to source fraud training at periodic intervals.		
Service Head:	Helen Pugh	Performance status:	On target

Rough Sleeping in Wales – Everyone’s Problem; No One’s Responsibility (July 20)

Completed 31/03/2022

Objective: WAO/NAT: Rough Sleeping in Wales – Everyone’s Problem; No One’s Responsibility (July 20)			
Action	14760	Target date	31/03/2022 (original target 31/03/2021)
Action promised	Intelligent use of data: Use data to plan the right future services, and to put in place effective data sharing protocols to ensure they respond effectively and safely to people sleeping rough. We recommend: i) invest in data analytical skills to better understand the current situation and predict future demand to prevent future homelessness		
Comment	Following consultation with the Homeless Forum a sub-Task and Finish Group was set up. Partners discussed the self-reflection tool and has used it as a basis for another consultation exercise with the Forum. This has led to actions being identified which will be included and delivered as part of the 5-year Rapid Re-Housing Plan which encompasses the needs of complex needs individuals.		
Service Head: Jonathan Morgan		Performance status: On target	

Action	14761	Target date	31/03/2022 (original target 31/03/2021)
Action promised	Intelligent use of data: Use data to plan the right future services, and to put in place effective data sharing protocols to ensure they respond effectively and safely to people sleeping rough. We recommend: ii) review and update data sharing protocols to ensure they support services to deliver their data sharing responsibilities effectively		
Comment	Following consultation with the Homeless Forum a sub-Task and Finish Group was set up. Partners discussed the self-reflection tool and has used it as a basis for another consultation exercise with the Forum. This has led to actions being identified which will be included and delivered as part of the 5-year Rapid Re-Housing Plan which encompasses the needs of complex needs individuals.		
Service Head: Jonathan Morgan		Performance status: On target	

Action	14762	Target date	31/03/2022 (original target 31/03/2021)
Action promised	Intelligent use of data: Use data to plan the right future services, and to put in place effective data sharing protocols to ensure they respond effectively and safely to people sleeping rough. We recommend: iii) introduce a single data capture & risk assessment process to help support safe decisions making in dealing with people sleeping rough		
Comment	Following consultation with the Homeless Forum a sub-Task and Finish Group was set up. Partners discussed the self-reflection tool and has used it as a basis for another consultation exercise with the Forum. This has led to actions being identified which will be included and delivered as part of the 5-year Rapid Re-Housing Plan which encompasses the needs of complex needs individuals.		
Service Head: Jonathan Morgan		Performance status: On target	

Action	14763	Target date	30/09/2021 (original target 31/03/2021)
Action promised	Integrated services to tackle complex needs: By responding to people in crisis, often deal with issues in isolation & rarely address fundamental cause. Requires responsive service delivery models, we recommend public bodies use our complex needs self-reflection tool to improve how they can jointly address complex needs in the future		
Comment	Following consultation with the Homeless Forum a sub-Task and Finish Group was set up. Partners discussed the self-reflection tool and has used it as a basis for another consultation exercise with the Forum. This has led to actions being identified which will be included and delivered as part of the 5-year Rapid Re-Housing Plan which encompasses the needs of complex needs individuals.		
Service Head: Jonathan Morgan		Performance status: On target	

National review of care homes for people living with dementia (Sep 20)

Completed 31/12/2021

Objective: CIW/NAT: National review of care homes for people living with dementia (Sep 20)			
Action	15233	Target date	31/03/2022
Action promised	R1 - Choice, people need clearer information about the location and types of service available. Commissioners need to address the gaps in care home provision		
Comment	The National Audit recommendations have been considered in Carmarthenshire and following the action plan response have been updated - the recommendations are now included in everyday business for the service areas.		
Service Head: Chris Harrison		Performance status: On target	

Action	15234	Target date	31/03/2022
Action promised	R2 – Training - providers of carer services and commissioners need to ensure that training supports the delivery of person – centred care. Training should involve people living with dementia who can describe their experience of care		
Comment	The National Audit recommendations have been considered in Carmarthenshire and following the action plan response have been updated - the recommendations are now included in everyday business for the service areas.		
Service Head: Chris Harrison		Performance status: On target	

Action	15235	Target date	31/03/2022
Action promised	R3 – Environment -providers and Commissioners should work together to ensure new homes are designed and built to improve outcomes and enable effective care, informed by evidence		
Comment	The National Audit recommendations have been considered in Carmarthenshire and following the action plan response have been updated - the recommendations are now included in everyday business for the service areas.		
Service Head: Chris Harrison		Performance status: On target	

Action	15236	Target date	31/03/2022
Action promised	R4 - Welsh Language - providers and Commissioners must gather better information about the Welsh Language skills of the workforce; educators should work to upskill the current workforce		
Comment	The National Audit recommendations have been considered in Carmarthenshire and following the action plan response have been updated - the recommendations are now included in everyday business for the service areas.		
Service Head: Chris Harrison		Performance status: On target	

Action	15237	Target date	31/03/2022
Action promised	R6 – Rights - there is a lack of understanding about mental capacity with a need to upskill staff in the context of rights-based approaches to care and support		
Comment	The National Audit recommendations have been considered in Carmarthenshire and following the action plan response have been updated - the recommendations are now included in everyday business for the service areas.		
Service Head: Chris Harrison		Performance status: On target	

Action	15238	Target date	31/03/2022
Action promised	R7 - Multi-disciplinary support - there is a need to improve support from mental health services and effective admission and discharge from hospital		
Comment	The National Audit recommendations have been considered in Carmarthenshire and following the action plan response have been updated - the recommendations are now included in everyday business for the service areas.		
Service Head: Chris Harrison		Performance status: On target	

Commercialisation in Local Government (Oct 20)

Completed 31/03/2022

Objective: AW/NAT: Commercialisation in Local Government (Oct 20)			
Action	14916	Target date	31/03/2022
Action promised	We will ensure that the TIC Income Thematic Workstream is focussed on the development of a more commercial approach across the organisation and will aim to implement the outcomes and recommendations of the Audit Wales Review of Commercialisation in Local Government.		
Comment	The findings of the Wales Audit Review - `Commercialisation in Local Govt` has been considered by the TIC Income Workstream. The toolkit included within the report has been used to support a self-assessment exercise by the workstream. A facilitated session was held with the Heads of Service forum in December. Further service specific workshops will now be held with priority services and the findings from these exercises will now be used to inform a discussion at CMT and with elected members. It is hoped that this will help clarify the Council`s ambitions in this area and what capacity/skills the Council possesses or requires to further progress this agenda.		
Service Head: Paul R Thomas		Performance status: On target	

Review of Waste Services – CCC (July 21)

On-going

Objective: AW/LOC: Review of Waste Services – CCC (July 21)			
Action	15225	Target date	30/06/2022
Action promised	R7(5): Waste Strategy-It develops and implements an engagement strategy focussing on the behavioural change required for the successful launch and adoption by the public of its new strategy (the Welsh Government Blueprint collection model)		
Comment	Communications plan is on track. Information packs containing letters, calendars and recycling guidance leaflets are in the process of being developed for issue in early autumn. A series of hwb engagement dates are being finalised and, internal as well as external briefings with staff, town and community councils, disability partnership groups, Tyisha steering groups and local community groups is being drafted and timeline produced to align with the resident information pack being issued. A programme of face-to-face engagement in communities and Recycling advisor door knocking engagements is being devised to run alongside the information pack and delivery period and operational collection implementation post 23rd January and with any existing community engagement activities that are planned with other departments or on a local level. This will commence in the autumn.		
Service Head: Daniel W John		Performance status: On target	

Completed 31/03/2022

Objective: AW/LOC: Review of Waste Services – Carmarthenshire County Council (July 21)			
Action	15215	Target date	31/12/2021
Action promised	R1: Garden Waste-The Council should identify performance measures for its garden waste service and ensure effective oversight of performance in this area by senior officers and Members		
Comment	We have performance Indicators now in place to measure Garden waste service, these are calculated manually currently with the move to the dataset database system planned by August 2022. 100% complete in terms of providing performance indicators to measure the service performance.		
Service Head: Ainsley Williams		Performance status: On target	

Action	15216	Target date	31/03/2022
Action promised	R2; CWM Environmental Ltd - Ensure that there is a risk register for CWM		
Comment	The risk register has now been developed and was approved by the CWM Management Board in December 2021. It will be reviewed by the Board as required and formally presented annually thereafter. The register was presented to the Council's CWM Shareholder Board, along with its business plan in March 22. Risk register to be presented to the Shareholder Board annually thereafter.		
Service Head: Ainsley Williams		Performance status: On target	

Action	15219	Target date	31/03/2022
Action promised	R5: Fly-tipping-Develop and implement an agreed plan to sustainably address the high number of fly-tipping incidents		
Comment	<p>The formal LEQ strategy has been adopted by the Council. This strategy is being monitored and delivered through the LEQ Strategic group which has been re-convened in December 21. This group seeks to address problematic areas of fly-tipping in a strategic co-ordinated manner. With set action plans developed for specific areas or problems based upon need.</p> <p>Caru Cymru (CC) project current year program is underway. Initiatives include:</p> <ul style="list-style-type: none"> • engaging with local schools and community groups to facilitate local initiatives e.g. litter picks, communications packs and engagement events. • Local business engagement for "2-minute street clean" initiative. • Engaging town and community councils on green spaces initiative/dog fouling – encouraging positive LEQ behaviour in parks and green spaces • Fly-tipping – selecting a rear lane in Llanelli to create a positive LEQ messaging. Invest in area to promote local custodianship and care. • Support the delivery of the National CC Roadside Litter campaign through material delivery, installation, promotion and engagement with relevant partners <p>An LEQ Action Plan is being produced in partnership between the Council and KWT and these are updated on a quarterly basis.</p> <p>The key element in the immediate term is to remove the incidents of fly-tipping as soon as practicable. Currently all fly-tipping is removed within 4 days of reporting, unless there are ongoing investigation work that preclude removal.</p> <p>Current resources are therefore sufficient to deal with the removal of fly-tipped materials.</p>		
Service Head: Ainsley Williams		Performance status: On target	

Action	15220	Target date	31/03/2022 (original target 31/03/2022)
Action promised	R6: Fly-tipping-Report corporately on a fuller set of performance measures for fly-tipping, including the number of incidents, to enable senior officers and Members to have more effective oversight of the problem and to drive improvement		
Comment	<p>New Measure Implemented in 2022- 25 departmental business plan - Total fly tipping service requests per annum. As part of the divisional plan, we will measure Total number of fly-tipping hotspots and total number of incidents at these hotspots.</p> <p>These performance indicators will enable us to assess the current service demand and then measure our impact following behavioural change campaigns and directed enforcement activities.</p> <p>This will lead to an understanding of how to drive fly-tipping down in the longer term.</p> <p>Full suite of LEQ actions within Departmental Business plan</p> <p>We are currently developing an alternative recording and task management system to enable us to react to and record fly-tipping more accurately and effectively. The scoping and initial development of this system is underway.</p>		
Service Head: Ainsley Williams		Performance status: On target	

Action	15221	Target date	31/03/2022
Action promised	R7(1): Waste Strategy-All elements of the waste hierarchy need to be considered, including prevention		
Comment	A new waste strategy and proposed collections methodology has been agreed and Phase 1 is in the process of being planned (see below). In addition, WG funded circular economy projects are currently being constructed. Our first a re-use shop was opened in Llanelli on the 22nd February 2022. Phase1 – introduction of three-weekly glass collection, three weekly residual waste collection (black bag) and weekly recycling collection (blue bag) from October/November 2022. Phase 2 will entail the introduction of a weekly kerbside sort collection system, weekly glass collection and continuation of a three weekly residual waste collection.		
Service Head:	Ainsley Williams	Performance status:	On target

Action	15222	Target date	31/03/2022
Action promised	R7(2): Waste Strategy-It integrates its strategy with other related projects and plans e.g. regeneration, enforcement and fly-tipping		
Comment	The agreed waste strategy makes strong links with wider Council policies and plans: Corporate strategy and the Council's wellbeing objectives; Net Zero Carbon plan (e.g., introduction of ultra-low emissions vehicles and electric vehicles); Local Environment Quality; Regeneration ambitions for principal towns and as part of the CE Strategy, links to our rural towns and 10 towns initiatives.		
Service Head:	Ainsley Williams	Performance status:	On target

Action	15223	Target date	31/03/2022
Action promised	R7(3): Waste Strategy-It has clear and sustainable plans for financing its strategy (including contingency plans if Welsh Government funding is not available)		
Comment	WG funding agreed for the Phase 2 roll-out (funding profile to be refined as plan progresses). Funding of electric vehicles as part of the Phase 1 roll out has been agreed. County Council funding has been agreed for the Phase 1 interim roll out.		
Service Head:	Ainsley Williams	Performance status:	On target

Action	15224	Target date	31/10/2021
Action promised	R7(4): Waste Strategy-It devotes sufficient time to consult the public on its proposed changes to waste collection arrangements		
Comment	ACTION PLAN RESPONSE: Outcome of the engagement exercise has been included in the waste strategy report as part of the considerations for the new strategy. Public engagement exercise was completed in July 21.		
Service Head:	Ainsley Williams	Performance status:	On target

Action	15226	Target date	31/03/2022
Action promised	R8(1): Business Plan-Set out clear accountable actions for its waste service which are specific measurable and timebound		
Comment	Specific actions have been developed in line with proposed waste strategy and all actions relating to the waste strategy are set out in the 2023-25 Business Plan.		
Service Head:	Ainsley Williams	Performance status:	On target

Action	15227	Target date	31/03/2022
Action promised	R8(2): Business Plan-Include performance measures that re linked to the actions which have clear targets and success actions		
Comment	Specific actions have been developed in line with proposed waste strategy and all actions relating to the waste strategy are set out in the 2023-25 Business Plan.		
Service Head:	Ainsley Williams	Performance status:	On target

Regenerating Town Centres in Wales (Sep 21)

On-going

Objective: AW/LOC: Regenerating Town Centres in Wales (Sep 21)		
Action	15146	Target date
Action promised	Review existing town centre master-plans for 3 primary town centres & produce Recovery Master-plans. Commence delivery of short, medium & strategy interventions. Projects: Carmarthen Hwb, CRF - Revitalise Rhydaman; Towns & Growth; Llanelli	
Comment	Recovery plans have been developed for Ammanford, Carmarthen and Llanelli, in partnership with town task forces/ forum and endorsed by Cabinet. bids have been approved under the UK Government's Community Renewal Fund (CRF) and it's Levelling up Fund. Under the CRF fund the following have been approved for Regeneration, Carmarthenshire Towns Recovery and Growth Pilot, Supporting the Welsh Language in Business and Community Revitalise Rhydaman, Business Bank Sir Gar and Regenerating Llanelli. All works are progressing well with a deadline of December 2023. Under the Levelling Up Fund, Carmarthenshire have been successful in the following bids, firstly the Tywi Valley Path from Llandeilo to Carmarthen and secondly bid with Pembrokeshire County Council for new Public Service Hwbs in Carmarthen and Pembroke town centres. The first stage tender process has b completed and contractor has been appointed. Detailed designs and cost plans are progressing well. A further two levelling up bids were submitted i one transport bid and one regeneration bid, with a decision on applications expected in the Autumn.	
Service Head: Jason Jones		Performance status: On target

Action	15228	Target date
Action promised	In line with the AW Report Regenerating Town Centres in Wales – National Report Sept 2021, recommendation 4, we will through the multi-discipline corporate enforcement group implement the Empty Property Action Plan, using potential loan funding from WG's Empty Property Management Fund necessary enforcement powers where appropriate	
Comment	Carmarthenshire have completed the training provided and subsequently developed an Empty Property Action Plan for enforcement within town cent to the Transforming Towns agenda. Carmarthenshire have an Enforcement Group in place, made up of officers from a wide range of departments ai tackle the empty properties in the County. The second meeting took place on 27th September 2022. The group are tasked with working through a Priority list originally consisting of 27 problematic properties mixed between commercial and residential across the County, mostly within the primary Meetings have been held with Welsh Government officials to target specific buildings and the option of utilising specific consultant support alongside has been offered. To date the group have started working their way through the properties and through collaborative working 2 commercial properties subsequently been unlocked and are now occupied. As the group progresses there will be consideration made regarding requests to add properties.	
Service Head: Jason Jones		Performance status: On target

Action	15232	Target date
Action promised	In line with the Audit Wales Report Regenerating Town Centres in Wales – National Report Sept 2021, recommendation 6, we will use the regenerating self-assess our town centre regeneration work where necessary	
Comment	Regeneration has led in the preparation of town centre recovery plans for Ammanford, Carmarthen and Llanelli, which have been to public consultation endorsed by Cabinet on the 17/01/22. In addition, Regeneration has been leading on developing the "Ten Towns" plans. All these plans have acknowledged the changes occurring in town centres that have been accelerated by the pandemic, Brexit and other market forces. We will make use of the regeneration to support our work where appropriate, this work is ongoing.	
Service Head: Jason Jones		Performance status: On target

Completed 31/03/2022

Objective: AW/LOC: Regenerating Town Centres in Wales (Sep 21)		
Action	15142	Target date
Action promised	Development of recovery and growth plans for Ten Rural Market Towns and to commence delivery of interventions identified	
Comment	The Ten Towns initiative has progressed well over the last 12 months. Growth Plans have been prepared and agreed by each of the respective comm Growth Plan Teams have been established in each of the areas to take forward some of the key aspirations identified within the plans. The Growth PI are represented by local businesses, town and community councils and third sector. To support the Growth Plan Teams, 3 Rural Market Town officers been appointed to progress the needs identified by the communities. Over recent months, the growth plan teams have been meeting regularly to prioritise their ideas for consideration under two funding pots which the has secured to take forward some of the aspirations identified within the growth plans. These include the Authority's £1m Capital investment fund an £100k Leader innovation fund. Each of the growth plan teams have been invited to collectively bring forward their priority projects for consideration. Expressions of Interest were submitted by the end of February for the capital fund, the total value of which equates to £1.25m. We are currently exp opportunities to draw down external funding to maximise opportunities wherever possible. Additionally, applications have been submitted for consideration under the Leader funding and are currently undergoing assessment. In addition, funding has been secured to deliver other support including the provision of free Wi-Fi in each of the respective towns. In addition, funding been secured via the Leader programme to help promote the distinctiveness of the Ten Towns, a common theme which has been identified across all growth plans. Other initiatives include the development of circular economy initiatives. We are in the process of commissioning external consultants t develop and pilot circular economy activities which minimise waste and increase opportunities for communities to access repair and reuse facilities an initiative across the Ten Towns.	
Service Head: Jason Jones		Performance status: On target

Pwyllgor Llywodraethu ac Archwilio 16 Rhagfyr 2022

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

**EXECUTIVE SUMMARY
GOVERNANCE & AUDIT COMMITTEE
16 DECEMBER 2022**

**GOVERNANCE & AUDIT COMMITTEE FORWARD WORK
PROGRAMME**

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

The following Report is attached:
Forward Work Programme

DETAILED REPORT ATTACHED?

YES

IMPLICATIONS

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

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

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

CONSULTATIONS

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

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

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

CABINET PORTFOLIO HOLDER(S) AWARE/CONSULTED:	Yes
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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

Mae'r dudalen hon yn wag yn fwriadol

Subject area and brief description of nature of report	Lead Department	Responsible Officer	Dec-22	Mar-23	Jul-23	Sep-23
Appointment of Audit Committee: - Chair - Vice Chair	Corporate Services	Governance & Audit Committee			✓	
Annual Audit Report	Corporate Services	Head of Revenues and Financial Compliance			✓	
Forward Work Programme	Corporate Services	Head of Revenues and Financial Compliance	✓	✓	✓	✓
Internal Audit Plan Update	Corporate Services	Head of Revenues and Financial Compliance	✓	✓	✓	✓
Internal Audit indicative three year plan	Corporate Services	Head of Revenues and Financial Compliance		✓		
Assurance Reviews: - Fundamental financial systems - 3' reports	Corporate Services	Head of Revenues and Financial Compliance	As Required			
Progress Report - Delivery of External Audit Recommendations	ICT & Policy	Performance Planning Section	✓			
Progress Report - Delivery of Internal Audit Recommendations	Corporate Services	Head of Revenues and Financial Compliance		✓		
Internal Audit Progress Updates requested by Audit Committee:	Corporate Services	Head of Revenues and Financial Compliance	As Required			
Progress reports as requested by Audit Committee - Review of Waste Services	Environment	Head of Waste and Environmental Services	✓			
Approval of Audit Charter	Corporate Services	Head of Revenues and Financial Compliance	As Required			
Approval of Strategies / Rules & Regulations	Corporate Services	Head of Revenues and Financial Compliance	As Required			
Annual Anti-Fraud and Corruption Report	Corporate Services	Head of Revenues and Financial Compliance				✓
Receive the Corporate Risk Register	Corporate Services	Head of Revenues and Financial Compliance		✓		✓
Opportunity for Members to discuss Risks	Corporate Services	Risk owners		✓		✓
Receive the Corporate Annual Report	ICT & Policy	Corporate Policy & Partnership Manager				✓
Receive the Annual Complaints Report	ICT & Policy	Corporate Policy & Partnership Manager		✓		
Annual Governance Statement for Carmarthenshire County Council - To be received - To be approved	Corporate Services	Head of Revenues and Financial Compliance			✓	✓
Statement of Accounts for Carmarthenshire County Council - To be received - To be approved	Corporate Services	Head of Financial Services			✓	✓
Statement of Accounts including Annual Governance Statement for Dyfed Pension Fund - To be received - To be approved	Corporate Services	Head of Financial Services				✓ ✓
Burry Port Harbour Accounting Statement - To be received - To be approved	Corporate Services	Head of Financial Services			✓	✓
Audit enquiries to those charged with governance and management for: - Carmarthenshire County Council - Dyfed Pension Fund	Corporate Services	Head of Financial Services				✓
Single Tender Action	Corporate Services	Director of Corporate Services	As Required			
Minutes for noting: - Grants Panel - Corporate Governance Group - Risk Management Steering Group	Corporate Services	Head of Revenues and Financial Compliance Head of Financial Services	✓	✓	✓	✓
Audit Wales: - Audit Plan Update	Corporate Services	Audit Wales	✓		✓	✓
- Financial Statements – ISA260 Report presented to those charged with Governance in relation to the Statement of Accounts for: o Carmarthenshire County Council o Dyfed Pension Fund						✓ ✓
- Annual returns – Reports re independent examination for: o Burry Port Harbour Authority						✓
- Letter of Representation o Carmarthenshire County Council o Dyfed Pension Fund						✓ ✓
- Annual Audit Letter o Carmarthenshire County Council				✓		
- Audit Plans, including information on fees o Carmarthenshire County Council o Dyfed Pension Fund				✓		

Mae'r dudalen hon yn wag yn fwriadol

Governance & Audit Committee Training / Informal Sessions

Subject area and brief description of session	Lead Department	Responsible Officer(s)												
			Autumn 2020	Winter 2020	Spring 2021	Summer 2021	Autumn 2021	Winter 2021	Spring 2022	Summer 2022	Autumn 2022	Winter 2022	Spring 2023	
Meeting with Auditors	Corporate Services	Director Corporate Services Head of Revenues and Financial Compliance	✓				✓					✓		
Governance & Audit Committee - Self Assessment	Corporate Services	Director Corporate Services Head of Revenues and Financial Compliance											✓	
Risk Register	Corporate Services	Director Corporate Services Head of Revenues and Financial Compliance	✓		✓		✓		✓		✓			✓
Risk Management & Risk Appetite	Corporate Services	Director Corporate Services Head of Revenues and Financial Compliance						✓					✓	
Statement of Accounts & Annual Governance Statement	Corporate Services	Director Corporate Services Head of Revenues and Financial Compliance				✓					✓			
Fraud Awareness	Corporate Services	Director Corporate Services Head of Revenues and Financial Compliance	✓											
Annual Corporate Report	Chief Executives	Corporate Policy and Partnership Manager												✓

Mae'r dudalen hon yn wag yn fwiadol

**PWYLLGOR LLYWODRAETHU AC ARCHWILIO
16 RHAGFYR 2022**

**COFNODION GRWPIAU PERTHNSAOL I'R PWYLLGOR
LLYWODRAETHU AC ARCHWILIO**

Yr Argymhellion / Penderfyniadau Allweddol Sydd Eu Hangen:

I dderbyn y cofnodion.

Y Rhesymau:

Fe nodwyd yn Amodau Gorchwyl y Pwyllgor Llywodraethu ac Archwilio bod angen derbyn cofnodion y Grwp Rheoli Risg ynghyd â materion ym mherthnasol i drefniadau sy'n ymwneud a Threfn Rheoli Corfforaethu a Threfniadau Ariannol.

Ymgynghorwyd â'r pwyllgor craffu perthnasol: NADDO

Angen i'r Cabinet wneud penderfyniad: NAC OES

Angen i'r Cyngor wneud penderfyniad: NAC OES

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

Cyng. A Lenny

Y Gyfarwyddiaeth:

Gwasanathau Corfforaethol

Enw Pennaeth y

Gwasanaeth:

Helen Pugh

Swyddi:

Pennaeth Refeniw a
Chydymffurfio Ariannol

Rhif ffôn: 01267 246223

Cyfeiriad e-bost:

HLPugh@sirgar.gov.uk

Awdur yr Adroddiad:

Helen Pugh

**EXECUTIVE SUMMARY
GOVERNANCE & AUDIT COMMITTEE
16 DECEMBER 2022**

MINUTES OF RELEVANT GROUPS TO THE GOVERNANCE & AUDIT COMMITTEE

To provide Members with minutes from supporting Governance Groups for information.

The following Minutes are attached:

- Corporate Governance Group
- Risk Management Steering Group
- Grants Panel

DETAILED REPORT ATTACHED?

YES

IMPLICATIONS

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

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

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

CONSULTATIONS

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

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

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

CABINET MEMBER PORTFOLIO HOLDER AWARE/CONSULTED? No

**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

Minutes of the Corporate Governance Group

20th September, 2022

12.00 pm – 13.15pm

Virtual Meeting: Teams

Present:

Chris Moore (CM)	Director of Corporate Services (Chair)
Cllr. Alun Lenny (AL)	Executive Board Member (Resources)
Cllr. Linda Davies Evans (LE)	Executive Board Member (Housing Services)
David MacGregor (DMcG)	Lay Member
Paul Thomas (PT)	Assistant Chief Executive
Helen Pugh (HP)	Head of Revenues and Financial Compliance
Alison Wood (AW)	People Services Manager
Linda Rees Jones (LRJ)	Head of Administration and Law
Gwyneth Ayers (GA)	Corporate Policy & Partnership Manager
John Williams (JW)	ICT Operations & Governance Manager
Ruth Morgan (RM)	Senior Administrative Officer

Apologies:

Randal Hemingway (RH)	Head of Financial Services
Noelwyn Daniel (ND)	Head of ICT

Item No.	Discussion / Action	Responsible Officer
1.	<p><u>Apologies</u> As noted above.</p> <p>HLP welcomed Cllr. Alun Lenny, Cllr. Linda Davies Evans and David MacGregor to their first Corporate Governance Group meeting and introduced the afore-mentioned as follows:-</p> <ul style="list-style-type: none"> • Cllr. Alun Lenny, Cabinet Member for Resources. • Cllr. Linda Davies Evans, Cabinet Member for Housing Services. • David MacGregor, Chair of the Governance and Audit Committee. DMcG has been invited to attend future meetings of this group as an Observer. DMcG has also recently been appointed as a Lay Member. <p>Introductions were also carried out by Officers of the group.</p>	

2.	<p><u>Appoint a Chair</u> It was AGREED, Cllr. Alun Lenny to Chair future meetings of the Corporate Governance Group meetings. However, Chris Moore would initially Chair today's meeting.</p>	
3.	<p><u>Minutes of Last Meeting dated 15th February, 2022 and Matters Arising</u> LRJ confirmed, accuracy of the Minutes and PT seconded that the Minutes were a correct record.</p>	
4.	<p><u>AGS</u> <u>Copy of the Final 2022/23 AGS</u> Chair notified, the AGS is attached to the Statement of Accounts, signed and approved by the Chief Executive and Leader of the Council and presented annually to the Audit Committee.</p> <p><u>Update on Actions</u> HLP shared her screen with group members and the Actions were reviewed and updated accordingly prior to it's publishing and signing off by Audit Committee during October.</p> <p>Chair thanked everyone for their input and updates on the AGS.</p>	
5.	<p><u>Council Performance Management Framework – (Verbal Update by GA)</u> GA stated, the updated Performance Management Framework had been raised during the last Corporate Governance Meeting and would be kept continually under review on an on-going basis.</p>	
6.	<p><u>Corporate Strategy – (Verbal Update by GA)</u> GA updated as follows :-</p> <ul style="list-style-type: none"> • The development of the new Corporate Strategy is currently being refreshed and reviewed and due to be submitted to CMT beginning of October with the proposal of reducing the current 13 Wellbeing Objectives to 4 Wellbeing Objectives with the intention of the Corporate Strategy being the delivery mechanism for the Cabinet Vision Statement which had been published in draft in July 2022. • Consultation has been carried out with eg. Staff / Residents Surveys, Trade Unions and Businesses. All responses to be analysed accordingly. • Proposing to move away from the Departmental Business Planning and to be substituted with only obtaining Divisional Business Planning in alignment with the 4 Wellbeing Objectives (ie. the Thematic and Service priorities). To be undertaken 	

	<p>during autumn/early 2023 prior to full implementation of the 2023/24 Business Planning cycle.</p> <p>GA shared her screen with the group and provided an overview of the proposed 4 Wellbeing Objectives.</p> <p>Action: GA to provide Cllr. Lenny with a copy of the Corporate Strategy.</p>	GA
7.	<p><u>Information Governance – (Verbal Update by JW)</u></p> <p>JW updated as follows :-</p> <ul style="list-style-type: none"> • From April 2022, 17 personal data breaches have occurred, based on human errors (ie. e-mails / letters being forwarded to the incorrect addresses). In line with the Internal Data Breach Policy each incident is investigated with a Data Breach report produced with the conclusion that no breaches have been reported to ICO, and any actions identified are implemented by the service area. dealt internally, no breaches have been reported to the ICO. • No cyber incidents to note. • Currently migrating, electronic data from the Corporate File Plan to Share-point. Approximately 80% complete. • Continue to review paper records across the organisation and being disposed of where practical. • The Multi Factor Authentication has been rolled out to over 2,500 employees and continues to be on-going. • Awaiting results of the phishing exercise which has been rolled out across the Authority. Once to hand, to be reported back to this group. • Cyber Training to be rolled out to employees accordingly. <p>Due to Social Care Adult Services having minimal data breaches as oppose to Children Services. JW to ascertain from Adult Services, their good working practice arrangements and the Children Services working practices, with regards to data breaches.</p> <p>Action: JW to follow up, if there were any cyber incidents within Delta Wellbeing.</p> <p>Action: JW to follow up, working practices with Social Care Adult Services and Children Services.</p>	<p>JW</p> <p>JW</p>
8.	<p><u>Performance and Governance of Principal Councils (Local Government and Elections Act (Wales) – (LRJ)</u></p> <p>LRJ and GA updated as follows:-</p> <ul style="list-style-type: none"> • Awaiting the draft guidance – (LRJ) 	

	<ul style="list-style-type: none"> • To undertake work between the Standards Committee and Group Leaders – (LRJ) • Annual Report 2021/22 for the Council, due to be submitted to the Scrutiny Committee – (GA) • Awaiting for the Individual Reports with regards to the Corporate Strategy Consultations – (GA) • Working on the basis of undertaking Panel Assessment(s) towards the end of 2023 – (GA) <p>DMcG referred to a previous joint review framework within Social Care which had 4 key areas of review. DMcG to provide GA with additional information / background whereby the principals could be applied across any service areas.</p> <p>The 4 key areas of review being:-</p> <ol style="list-style-type: none"> 1. Meeting needs. 2. Shaping services. 3. Managing performance. 4. Managing resources. <p>ACTION: GA and DMcG to have a conversation / discussion outside of the meeting.</p>	
9.	<p><u>Corporate Joint Committees (CJCs) – (Verbal Update by LRJ & CM)</u></p> <p>LRJ informed, the Local Authority are in the South West Wales Corporate Joint Committee since the beginning of 2022 and does not attend the CJC meetings, only has sight of the Agendas / Minutes of the CJC meetings.</p> <p>LRJ referred to the following:-</p> <ul style="list-style-type: none"> • Carmarthenshire CC, lead on the Economic Wellbeing and Politically Lead on the Strategic Development Planning. • A Business and Portfolio/Programme Manager (?) has been appointed, namely Owain Enoch. • A dedicated session to be undertaken on Regional Transport Planning. • A draft Corporate Plan to be produced by December. • There are 4 Sub Committees namely :- <ul style="list-style-type: none"> - Strategic Development Planning - Regional Transport Planning - Economic Wellbeing of the Region - Energy <p>GA informed, the 4 Local Authorities will be working to Carmarthenshire CC’s Welsh Language standards until the Welsh Language Commissioner sets standards on the CJC itself.</p>	

10.	<p><u>CRWG – Verbal Update – (LRJ)</u> A CRWG meeting met on 20th of July, 2022 whereby the following 2 Reports to be submitted to County Council dated Wednesday 28th of September, 2022.</p> <ol style="list-style-type: none"> 1. Recommending Scrutiny Committees be re-aligned to match the portfolios of Cabinet Members in order for Cabinet members to know which Committee meetings they require to attend. 2. Amendments to the Standing Order on Motions of Notice with a view to encourage and enable more cross party motions. All members who sign a Motion of Notice are to be provided with the same status and priority. 	
11.	<p><u>Any Other Business</u> The following item had been raised:-</p> <p><u>Future Dates for the Corporate Governance Group Meetings</u> HLP informed, the following dates would be held multi-located as follows :-</p> <ul style="list-style-type: none"> - 5th December, 2022 – DSU Meeting Room, County Hall - 6th February, 2022 – DSU Meeting Room, County Hall - 23rd March, 2022 – DSU Meeting Room, County Hall <p>Due to technical issues with Cllr. Linda Evans and David MacGregor, Chair acknowledged their absence during the meeting.</p> <p>Chair thanked all present for their attendance and contributions and called the meeting to a close at 1.15 pm.</p>	

Mae'r dudalen hon yn wag yn fwriadol

*UPDATE ON OUTSTANDING GOVERNANCE ISSUES IDENTIFIED IN
PREVIOUS ANNUAL GOVERNANCE STATEMENTS*

SOURCE	ISSUES	RESPONSIBLE OFFICER	ACTIONS/PROGRESS		STATUS
AGS 2017/18 No.6	Monitor and evaluate People Strategy Group/Work stream actions relating to AW People Performance Management recommendations.	Assistant Chief Executive – People Management	March 2020	<p>Consolidating learning and moving forward. PSGB Group has met through COVID19, but revaluation of way forward needed.</p> <p>IIP – high level review for further accreditation carried out. Steering group is refocusing its objectives.</p>	<p>Formal confirmation that IIP Gold Standard Achieved. Of the 27 themes – already hit Platinum level for 12 levels. IIP will be reporting to CMT on 8th December 2022.</p> <p>PSGB Group – areas of development identified through IIP- internal communications strategy to be developed.</p>
AGS 2019/20 No.8	Ensure Employment Policies reflect any new legislation such as exit payment cap, reclaiming exit payments etc.	People Services Manager	March 2021	<p>Ongoing – On 12/2/21 the UK Government repealed the exit pay cap provisions. We await new legislation and will update policies accordingly.</p> <p>The legislation is likely to come back in the Autumn. Waiting for this, following these policies will be reviewed and updated where required.</p>	<p>2021/22</p> <p>Exit pay cap legislation was due in December 2021 but has not been received – likely now to be 2022.</p> <p>ACAS compliant policies in place.</p> <p>Position @ 5 December 2022 - Still awaiting advice.</p>

Carmarthenshire County Council: AGS – Actions / Progress Update @ 5 December 2022

AGS 2019/20 No.13	Implement appropriate changes in respect of the governance arrangements of the Local Authority Companies in response to the Governance Review Report.	Corporate Management Team	June 2021	Democratic decision has been taken to put one company into dormancy. Decision has been taken that reports from the other two companies to be presented to Cabinet on 6 monthly basis.	Update: Monitoring Officer Governance update review carried out and completed. Report is being finalised. CWM taking a governance review report to the CWM Board.
AGS 2020/21 No.1	Review Staff Travel Policy	People Services Manager	April / May 2021	Draft presented to CMT 16 th September 2021 Principles agreed and consultation now will commence with TU. Following which the policy will go back to CMT and follow through the political process.	COMPLETED. Finalised.
AGS 2020/21 No.2	Implement The Local Government and Elections (Wales) Act requirements	Corporate	May 2022	The elements that have not been implemented to date have a timetable that needs to be met to deliver the Act's requirement / timescale. Elements of performance & governance implemented. Elections – in hand	Ongoing Parts of the Legislation that needed to be implemented have been completed. Self-assessment element has been incorporated. Awaiting guidance from WLGA re: peer assessment.
AGS 2020/21 No. 3	Develop governance arrangement around the better ways of working once plan is in place – for officers	Chair of Better Ways of Working Strategic Group	2021/22	Facilitated sessions underway for each HoS teams. 3 sub groups in place reporting into Strategic group.	Ongoing Each service is now collating information to determine the practicalities / operational needs space allocations collated from all HoS

Carmarthenshire County Council: AGS – Actions / Progress Update @ 5 December 2022

				<p>Communications plan being drawn up for the project</p> <p>Two pilots on hybrid working in place.</p>	<p>to inform the property strategy.</p> <p>Also work ongoing with other public sector bodies – joint working.</p>
AGS 2020/21 No.5	Recruit lay members for Governance and Audit Committee.	Head of Legal and Democratic Services / Director of Corporate Services / Head of Revenues & Financial Compliance	2021/22	<i>A recruitment process was conducted during 2021/2022.</i>	<p>Job Specification drawn up</p> <p>Job advert drafted – both presented to Governance & Audit Committee for approval 17th December 2021. Shortlisting and Interviews completed- Recommendations on successful applicants for the lay member posts presented and accepted - County Council in May 2022. Further advert issued; no candidates shortlisted.</p> <p>New advert out December 2022</p>

ISSUE REF	ACTION	RESPONSIBLE OFFICER	Target date / Actions/Progress		Status
AGS 2021/22 No.1	Develop recruitment strategy and workforce plan alongside implementation of new recruitment software to ensure recruitment service can be streamlined and maintained.	People Services Manager	March 2023	<p>In progress – new software in place – testing system and rolling out training – from March 2023</p> <p>Strategy will follow once system in place.</p>	Commenced

Carmarthenshire County Council: AGS – Actions / Progress Update @ 5 December 2022

ISSUE REF	ACTION	RESPONSIBLE OFFICER	Target date / Actions/Progress		Status
AGS 2021/22 No. 3	Review employment safeguarding framework and develop training programme for recruiting managers	People Services Manager	March 2023	Corporate Safeguarding group (January 2022) will consider recommendations in respect of a training programme to managers.	Commenced
AGS 2021/22 No.4	Develop an Engagement and consultation plan for the local authority.	Media and Marketing Manager	March 2023	Work has commenced – reflecting on the staff survey findings and IIP	Commenced
AGS 2021/22 No.5	Further development work on handling complaints and investigating complaints.	Head of ICT and Policy	March 2023	Piece of work being carried out on the resource needed to investigate complaints. Triangulate this with FOIA and Member enquiry	Commenced
AGS 2021/22 No.6	Review the customer service that we as a Council provide and how we can further improve the customer journey.	Media and Marketing Manager	March 2023	From 1 st December 2022 – Development of Hwbs – more access to customers – thematic days introduced.	Commenced
AGS 2021/22 No.7	Review and reinvigorate our Corporate Strategy and Well-being Objectives.	Head of ICT and Policy	March 2023	Draft Corporate Strategy in place. Been CMT on 1 December 2022 Pre cabinet 12 December 2022 Cabinet – February 2022	Commenced
AGS 2021/22 No.8	Establish clear governance mechanism to drive progress against each Well-being Objective and identify priority themes and service areas to support delivery of the well-being objectives	Head of ICT and Policy	March 2023	Governance mechanisms now in place – completed. Four well-being objective identified and thematic priorities and service priorities framework in place. Divisional plans format issued w/c 5 December 2022	Commenced

Carmarthenshire County Council: AGS – Actions / Progress Update @ 5 December 2022

AGS 2021/22 No.9	Continue to develop the new integrated Performance Management quarterly monitoring reports,	Head of ICT And Policy Head of Financial Services Head of Revenues and Financial Compliance	March 2023	Continuously evolve – approach taken for integrated approach is embedded.	Completed
AGS 2021/22 No.10	Develop a new Transformation strategy; ensure that Learning & Development priorities and programmes are fully aligned with corporate priorities and needs	Assistant Chief Executive	March 2023	Strategy to be taken to Transformation Board - December 2022	Commenced
AGS 2021/22 No.11	Refresh the council's Core Values. Communicate to the workforce the Chief Executive's vision for the Council	Assistant Chief Executive	March 2023	Core Values: the survey engagement demonstrated that the values are fit for purpose. In revised workforce strategy – the Chief's vision is included. Well-being objective 4 is around transformation and core values is embedded and the Chief's vision	Completed
AGS 2021/22 No.12	Review the Governance arrangements for both Local Authority Trading Companies (LATC) with a view to aligning the arrangements and clarifying the roles of Members and Scrutiny Committees in relation to the LATCs.	Direct of Corporate Services Head of Legal and Administration	March 2023	Monitoring Officer review carried out and completed. Report is being finalised. CWM taking a governance review report to the CWM Board.	Commenced

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RISK MANAGEMENT STEERING GROUP

Minutes of Meeting held on

Friday, 2nd December 2022

Via Microsoft Teams

Members Present:			
Helen Pugh (Chair)	Corporate Services	Corporate Services Risk Champion	HLP
Cllr Alun Lenny		Cabinet Risk Champion	AL
Jonathan Fearn	Communities	Chair of Property & Liability Risks Working Group	JF
Stephen G Pilliner	Environment	Chair of Transport Risks Working Group	SP
Simon Davies	Education & Children	Education & Children Risk Champion	SD
Richard Davies	Communities	Communities (Social Care) Risk Champion	RD
Alan Howells	Environment	Environment Risk Champion	AH
Julie Standeven	Corporate Services	Principal Risk Officer	JS
Jackie Bergiers	Chief Executive's	Lead Business Partner (H&S)	JB
Suzanne Wride	Corporate Services	Risk Assistant	SW

Item No	Subject	Action
1.	Apologies Richard Stradling – Communities (Leisure) Risk Champion Sue P John – School Organisation & Admissions Manager, Education & Children Huw Jones – Marsh UK Ltd	
2.	Minutes of Last Meeting The Minutes of the Risk Management Steering Group Meeting held on Thursday, 12 th May 2022 via Teams, were confirmed as a true record.	
3.	Matters arising from Risk Management Steering Group Minutes.	
3.1.1	Alarm Receiving Centre JF advised that progress was incremental with major factors being capacity and resources. The matter is due to be discussed at the upcoming Property & Liability Risks Working Group on Tuesday 13 th December 2022. JS to forward AH appropriate information for Environment DMT to move matter forward and update to be	JS

	provided at next meeting.	
3.1.2	Water Safety Equipment JB advised that an action plan was being developed to be implemented in the new year. Update to be provided next meeting.	JB
3.1.3	Secure by Design Fencing – Schools SD advised that the Senior Business Partner (Working Safely) had completed a report to establish the Council’s requirements for new fencing at schools. An assessment was to be completed for existing fencing. Update to be provided at next meeting.	SD
3.1.4	Departmental Business Continuity Plans HLP advised that a Business Continuity Task & Finish Group had been established supported by the Emergency Planning Team. The Task & Finish group report to Corporate Management Team and the Contingency Planning Working Group.	
3.1.5	Dashcams SGP advised that the Council’s high risk vehicles were fitted with high level surveillance equipment. An audit of all other vehicles will be completed and an update will be provided at the next meeting.	SGP
3.1.6	Minibus D1 Licence JS to contact Lead Officer Operational Training to establish costs of providing Minibus D1 Licence training potential for the submission of a Bid for Risk Management funding at a future date.	JS
4.	Property & Liability Risks Working Group Meeting postponed to Tuesday 13th December 2022 Minutes to be circulated to the RMSG.	
5.	Minutes of Contingency Planning Working Group Meeting – Wednesday 23rd November 2022 The Minutes were noted.	
5.1	Matters arising from Contingency Planning Working Group Minutes	
5.1.1	A Review of Loggists – Improvements HLP advised that there was a need to train additional loggists. Each department to nominate officers suitable for this role and attend training.	
5.1.2	Training Needs Analysis HLP advised that Emergency Response Plan training was being piloted by the Environment department and a report would be issued to Corporate Management Team shortly.	
5.1.3	Corporate / Service Risk Registers HLP advised that a stand alone Cost of Living Risk Register was to be established, reporting to Corporate Management Team.	
6.	Minutes of Transport Risks Working Group – 21st October 2022 The Minutes were noted.	
6.1	Matters arising from Transport Risks Working Group	
6.1.1	ZM MV Grading Review SGP confirmed that the Fleet Manager continued to monitor and action the requirements of the Zurich Municipal Motor Vehicle Grading Review. The action plan was reviewed by the Transport Risks Working Group.	

6.1.2	Motor Vehicle Driver Handbook SGP advised that the motor vehicle driver handbook was under review. Update to be provided next meeting.	SGP
7.	Minutes of the RM Bid Review Meeting – Tuesday 25th October 2022 The Minutes were noted.	
7.1	RM Bid review Meeting HLP advised that the bids reviewed were as follows: <ul style="list-style-type: none"> • Mental Health Support Coordinator • Digital Transformation Project Officer • Ysgol Bro Myrddin – Security & Safeguarding Improvements • Community Safety CCTV Policy Implementation It was agreed by the Group that for future reviews, the presentation must include evidence to support the success or otherwise of the initiative, such as: <ul style="list-style-type: none"> • Pre and post statistics / data • Pre and post photographs 	
8.	RM Insurance Report The Group discussed this report and feedback was very positive. SGP and JF felt that the working groups would benefit from trendline claims analysis to identify emerging risks. Trendline graphs to be provided at future working group meetings.	JS/SW
9.	Draft Risk Appetite Statement for Carmarthenshire County Council HLP presented the draft Risk Appetite Statement for the Council developed by the Corporate Management Team and Head of Service at facilitated workshops. Draft Statement to be reviewed by Corporate Management Team for approval and then progress to pre Cabinet and the Governance & Audit Committee.	
10.	RM Reviews – Action Plan HLP presented the current position as per the action plan for the Wales Audit, TIC and Internal Audit reviews.	
11.	Bids for Financial Assistance tabled at the Transport Risks Working Group – Friday, 21st October 2022	
11.1	ENV – Waste Transformation – CCTV Systems for new glass collection vehicles. This Departmental bid related to the provision of CCTV systems for the new Waste Transformation Glass Collection vehicles. It was agreed that the Department bid (i.e. 50% of the estimated cost) be approved.	
12.	Any Other Business None	
13.	Next Meeting 14:00 Friday 3 rd February 2023 via Microsoft Teams.	

Mae'r dudalen hon yn wag yn fwriadol

MINUTES OF THE GRANTS PANEL MEETING HELD ON 26th SEPTEMBER 2022 VIA TEAMS		
PRESENT:	Randal Hemingway, Head of Financial Services Caroline Powell, Principal Auditor, Internal Audit (IA) Stuart Walters, Chair of PWG, Chief Executive Nia Thomas, Chair of PWG, Education & Children (Revenue) Les James, Chair of PWG, Communities Alan Howells, Chair of PWG, Environment Rhian Phillips, Economic Development Area Manager Anwen Worthy, Audit Lead, Audit Wales Delyth Thomas, Grants Compliance Officer (GCO)	
APOLOGIES:	Helen Pugh, Head of Revenues & Financial Compliance Simon Davies, Chair of PWG, Education & Children (Capital) Helen Morgan, Economic Development Manager	
	SUBJECT	ACTION
1.0	<p><u>Minutes of the last meeting</u></p> <ul style="list-style-type: none"> Minutes were agreed. 	
2.0	<p><u>Matters Arising</u></p> <ul style="list-style-type: none"> The service level agreement with Hywel Dda Local Health Board (LHB) for Wanless (Money Transfers) is currently with the Director of Community Services for signing. The results of an exercise to review the audit requirements stipulated in the terms & conditions of grants awarded to Education & Children for 2021/22 to be forwarded to IA. Initial discussions have been undertaken to identify areas to be considered as part of the closure of the European grant funded projects. Further discussions to be presented to the next Grants Panel meeting as a separate agenda item. An email has been sent to the Welsh Government's (WG) Grant Centre of Excellence raising concerns on issues identified in relation to the WG grant claims. No response received to date. A review of the closure guidance for grant funded projects to be undertaken to ensure it includes guidance on the retention of documents held electronically as well as those in paper format. New UK Subsidy rules are due to come into force. A workshop outlining the new rules has been arranged 	<p>NT</p> <p>RP/DT</p> <p>RP</p>

	SUBJECT	ACTION
	by WG for 27th September 2022. Any amendments will need to be incorporated into the Grants Manual.	
3.0	<p><u>Audit Wales - Update</u></p> <ul style="list-style-type: none"> • The audit of Pooled Budgets for 2019/20 and 2020/21 has been completed. • Audit Wales have confirmed that the audit programme for 2021/22 grants will be the same as 2020/21. It is anticipated that the audits will not start until December 2022. Audit Wales are currently contacting the relevant authorities to agree revised audit deadlines. 	
4.0	<p><u>Internal Audit (IA) - Update</u></p> <ul style="list-style-type: none"> • The following audits on the 2021/22 grant funded projects have been completed: <ul style="list-style-type: none"> ○ Enable ○ Supporting People Regional Development Co-ordinator • There are still audit queries outstanding for the following projects before the audit can be finalised: <ul style="list-style-type: none"> ○ Housing Support grant ○ Pupil Development grant ○ Regional Consortia Improvement grant • There are no changes to the audit requirements for the 2022/23 Regional Consortia School Improvement grant and the Pupil Development grant as decided by Pembrokeshire County Council (PCC) who is the administrative body for the Partneriaeth Consortia. 	
5.0	<p><u>Grants Register 2022/23</u></p> <p>Work has commenced on the grants register for 2022/23. Grants information has been received for the revenue grants within the Education & Children's Department. Information on grants from the other departments is not being forwarded to the GCO for</p>	

	SUBJECT	ACTION
	<p>the grants register to be updated. A reminder to be sent by the PWG Chairs to remind officers to forward this information.</p>	<p>Chairs of PWGs</p>
6.0	<p><u>Project Working Groups</u></p> <ul style="list-style-type: none"> • Minutes of PWG meetings were received: <ul style="list-style-type: none"> ○ Education & Children (capital): 26/7/2022 ○ Communities: 27/7/2022 ○ Environment: 23/3/2022 & 27/7/2022 • The following updates were provided: <ul style="list-style-type: none"> ○ Works on the YMCA in Llanelli is progressing. Completion is expected late summer 2024. The project is funded by WG's Transforming Towns grant. ○ Planning has now been approved for Market Street Llanelli. Funding has already been received from WG. Options on how to progress are being considered by Procurement, Legal and Consultancy. ○ Works on the Carmarthen Hub which is part of the Carmarthen & Pembroke Hubs project, funded by grant through the UK Government's Levelling Up fund, is progressing well. For the Pembroke Hub discussions are still ongoing on finalising the service level agreement with PCC. ○ The Towy Valley Path project also funded through the Levelling Up fund has seen delays in spend due to the land acquisition process. ○ Expressions of interest have been received for a third-party grant from the Business Renewable Energy fund which is core funded. Total grants to be allocated is £500k with a maximum grant of £10k per applicant. Commitment levels are high however the pace for awarding the grants is slow due to supplier capacity issues. ○ Clarification to be sought on the allocation of grant for the Regional Integration Fund (RIF). Previously known as Integrated Care Fund (ICF). 	

	SUBJECT	ACTION
	<ul style="list-style-type: none"> ○ Concerns have been raised on how work is prioritised for grant funded projects and core funded projects. For grant funded projects there is pressure to maximise spend in tight timescales and how this then impacts on spend on core funded projects when work is delayed. ○ The impact of the pay award when agreed on grant funded projects will need to be considered. Project managers will need to look at options to cover the increased costs and discuss with their Head of Service if necessary. 	
7.0	<p><u>European Grants Update</u></p> <ul style="list-style-type: none"> ● A schedule of all current European grant funded projects was presented to Grants Panel. The total estimated project costs approved is £49m with grant of £32m. ● Additional grants monies of £300k awarded for Llandeilo Market Hall by WG. The project is due to be completed in the New Year. ● Good progress is being made on-site for Crosshands Plot 3. The Authority has received confirmation from WG of additional funding. ● An update was provided to Grants Panel on the amount of grant income outstanding to the Authority for European grant funded projects. The total amount claimed to date is approximately £22.7m with a total of £2.3m grant income outstanding. ● Concerns were raised on the delays on the receipt of grant income from lead authorities where CCC is a partner. An email to be sent to the respective local authorities. 	RH

	SUBJECT	ACTION
8.0	<p><u>Successor Schemes Update</u></p> <ul style="list-style-type: none"> • The South West Wales Regional Investment Plan has been submitted to the UK Government for the Shared Prosperity Fund. The approval of the Investment Plan is expected in October 2022. The plan has been developed on a regional basis to ensure consistency across local authorities. • Thematic projects that will manage major parts of the investment strategy primarily by offering third-party grants to organisations. Proposed anchor projects include: <ul style="list-style-type: none"> ○ Communities ○ Place ○ Rural and Valleys ○ Supporting Local Business ○ People and Skills • There will be a number of standalone projects which will be managed by a competitive bidding process to cover areas where there are gaps in strategic delivery. There will also be specific commissioned projects with a defined activity that are not covered by the standalone projects. • Bids have been submitted for Levelling Up funding for Llanelli Town Centre and Transport Interchange. Discussion on the outcome of the bids is expected soon. 	
9.0	<p><u>New & Proposed Projects</u></p> <ul style="list-style-type: none"> • Approval is expected from the WG for the ARFOR 2 project. The project covers 4 local Authorities which includes Gwynedd, Carmarthenshire, Ceredigion and Anglesey with Gwynedd being the lead authority. The project aims are to retain the Welsh language in these specific areas. 	
10.0	<ul style="list-style-type: none"> • Date of next meeting – 2:00pm on 28th November 2022 via Teams 	

Mae'r dudalen hon yn wag yn fwriadol

PWYLLGOR LLYWODRAETHU AC ARCHWILIO

30 MEDI 2022

PRESENNOL: (Yn rhithwir) Cyngorydd A.G Morgan (Yr Is-gadeirydd yn Cadeirio'r cyfarfod)

Cynghorwyr (Yn y Siambr):

K. Davies

Cynghorwyr (Yn rhithwir):

K.V. Broom L. Davies A. Evans
P.T. Warlow D.E. Williams J. Williams

Aelodau Lleyg (Yn y Siambr):

J. James M. MacDonald

Hefyd yn bresennol o Archwilio Cymru (Yn rhithwir):

J. Blewitt ac A. Lewis.

Yr oedd y swyddogion canlynol yn gwasanaethu yn y cyfarfod (Yn y Siambr):

C. Moore, Cyfarwyddwr Gwasanaethau Corfforaethol;
P.R. Thomas, Prif Weithredwr Cynorthwyol (Rheoli Pobl a Pherfformiad);
H. Pugh, Pennaeth Refeniw a Chydymffurfiaeth Ariannol;
A. Williams, Pennaeth Y Gwasanaethau Integredig;
G. Ayers, Rheolwr Polisi Corfforaethol a Phartneriaeth;
C. Powell, Prif Archwilydd;
C. Jones, Rheolwr Caffael – Strategaeth a Chydymffurfiaeth;
N.J. Evans, Rheolwr Cynnal Practis, Is-Adran Gweinyddiaeth a'r Gyfraith;
E. Evans, Prif Swyddog Gwasanaethau Democrataidd;
S. Rees, Cyfieithydd Ar Y Pryd;
J. Owen, Swyddog Gwasanaethau Democrataidd.

Yr oedd y swyddogion canlynol yn gwasanaethu yn y cyfarfod (Yn rhithwir):

L.R. Jones, Pennaeth Gweinyddiaeth a'r Gyfraith
S. Davies, Pennaeth Mynediad i Addysg
M.S. Davies, Swyddog Gwasanaethau Democrataidd

Y Siambr, Neuadd Y Sir, Caerfyrddin, SA31 1JP ac o bell: 10:00yb - 12:35yp

[SYLWER: Caniatáu amser ychwanegol i'r Rheolwr Cynnal Practis, Gyfraith gan ei fod yn cael problemau cysylltu, ystyriwyd Eitem 8 cyn Eitem 7, ond mae'r cofnodion hyn yn dilyn trefn y materion ar yr agenda].

1. YMDDIHEURIADAU AM ABSENOLDEB.

Cafwyd ymddiheuriad am absenoldeb gan Mr David MacGregor, y Cadeirydd.

2. DATGANIADAU O FUDDIANNAU PERSONOL.

Yr Aelod	Eitem Agenda	Math o Fuddiant
Mr Malcom MacDonald	7 - Llythyr Blynnyddol yr Ombwdsmon 2021/2022	Mae gan Mr MacDonald gysylltiad ag un o'r achosion sydd wedi ei gofnodi fel ystadegyn yn yr adroddiad. Arhosodd Mr MacDonald yn y cyfarfod ac ni chymerodd ran yn y trafodaethau na'r bleidlais.

3. YSTYRIED Y DOGFENNAU CANLYNOL PARATOWYD GAN SWYDDFA ARCHWILIO CYMRU:

3.13. DIWEDDARIAD YNGHYLCH RHAGLEN WAITH ARCHWILIO CYMRU

Bu'r Pwyllgor yn ystyried adroddiad a gyflwynwyd gan Gynrychiolwyr Archwilio Cymru ar Raglen Waith Archwilio Cymru a'r diweddariad chwarterol ynghylch yr Amserlen, ar 30 Mehefin 2022.

Dywedwyd wrth Aelodau'r Pwyllgor, ers cyhoeddi'r adroddiad, fod y gwaith grantiau nad oedd wedi'i gwblhau mewn perthynas â Gwaith Archwilio Hawlio Grant 2020-21 wedi'i gwblhau ers hynny.

Tynnwyd sylw'r Pwyllgor at fater cenedlaethol a oedd yn effeithio ar y sector cyhoeddus. Dywedwyd, er bod Sefydliad Siartredig Cyllid Cyhoeddus a Chyfrifyddiaeth wrthi'n parhau i edrych ar y dull cyfrifyddu ar gyfer asedau seilwaith, bod y dyddiad cau o 30 Tachwedd yn agosáu. Roedd Llywodraeth Cymru yn ymwybodol o'r sefyllfa ac yn ystyried ymestyn y dyddiad cau. Yng ngoleuni hyn, cafodd y pwyllgor wybod fod posibilrwydd ar hyn o bryd na fyddai gwaith y Sefydliad Siartredig Cyllid Cyhoeddus a Chyfrifyddiaeth ar y seilwaith ac asedau wedi'i gwblhau mewn pryd i'w gynnwys yn adroddiad Archwilio Cymru IS260 oedd i'w gyflwyno i'r Pwyllgor yn y cyfarfod ar 21 Hydref 2022.

Dywedodd Cyfarwyddwr y Gwasanaethau Corfforaethol fod y sefyllfa yn rhwystredig i bob Awdurdod Lleol yng Nghymru. Eglurwyd bod yr opsiwn o osod diystiriad statudol i osgoi diwygio'r cyfrifon yn cael ei drafod ar hyn o bryd gyda Llywodraeth Cymru ar y cyd â'r Llywodraeth Ganolog. Yn y cyfamser, er mwyn bod mewn sefyllfa i orffen yr Archwiliad, byddai dulliau eraill yn cael eu hystyried ar y cyd ag Awdurdodau Lleol eraill yng Nghymru.

Cyfeiriwyd at dudalen 5 yr adroddiad; Adolygiad dilynol: Trosolwg a Chraffu - Addas ar gyfer y dyfodol. Gofynnwyd a fyddai'r Adroddiad Drafft a gyflwynwyd i'r Cyngor ym mis Gorffennaf 2022 yn cael ei gyflwyno i'r Pwyllgor hwn? Cadarnhaodd Rheolwr y Polisi Corfforaethol a Phartneriaeth fod ymateb Cyngor Sir Caerfyrddin i'r adroddiad wedi'i ddrafftio ac y byddai'n cael ei ychwanegu at Flaenraglen Waith y Pwyllgor ar gyfer mis Rhagfyr 2022.

Mewn ymateb i ymholiadau ynghylch yr Archwiliad o Fargen Ddinesig Bae Abertawe 2021-22 a nodwyd ar dudalen 3 yr adroddiad, dywedodd Cyfarwyddwr y Gwasanaethau Corfforaethol fod y trefniadau Llywodraethu wedi'u cyfeirio at y Cyd-bwyllgor. Eglurwyd bod Cyngor Sir Caerfyrddin (CSC) yn gyfrifol am 4 prosiect sef Pentre Awel, Yr Egin a gyflawnwyd gan drydydd parti, Sgiliau a Thalentau – prosiect ar y cyd y mae CSC yn ei arwain a'r Prosiect Digidol. Er bod y Cyd-bwyllgor yn goruchwyllo'r holl brosiectau, cadarnhawyd y byddai trefniadau llywodraethu'r 4 prosiect yn cael eu cynnwys ym mhrif Archwiliad y Cyngor Sir fel yr Awdurdod Arweiniol. Hefyd, rhoddwyd sicrwydd i Aelodau'r Pwyllgor nad oedd unrhyw faterion yn codi ar hyn o bryd.

PENDERFYNODD YN UNFRYDOL nodi'r Diweddariad ynghylch Rhaglen Waith Archwilio Cymru.

3.2. ADOLYGIAD CENEDLAETHOL: TALIADAU UNIONGYRCHOL AR GYFER GOFAL CYMDEITHASOL I OEDOLION

Bu'r Pwyllgor yn ystyried adroddiad Archwilio Cymru ar yr Adolygiad Cenedlaethol o Daliadau Uniongyrchol ar gyfer Gofal Cymdeithasol i Oedolion.

Roedd yr adroddiad cenedlaethol yn ystyried sut roedd Taliadau Uniongyrchol yn helpu pobl i fyw yn annibynnol. Roedd y Taliadau Uniongyrchol yn ddewis amgen i gymorth neu ofal a drefnwyd gan awdurdod lleol a gallai helpu i ddiwallu anghenion yr unigolyn neu'r gofalwr. Yn ogystal, roedd yr adroddiad yn ystyried sut yr oedd Awdurdodau Lleol yn rheoli ac yn annog pobl i ddefnyddio Taliadau Uniongyrchol ac a oedd y gwasanaethau yn cynnig gwerth am arian.

Dywedwyd, er bod yr adroddiad yn asesu'r sefyllfa bresennol mewn perthynas â thaliadau uniongyrchol, nid oedd yn mynd i'r afael ag unrhyw un o'r diffygion. Fodd bynnag, roedd ymgyrch polisi cenedlaethol ar waith i gynyddu taliadau uniongyrchol, ond roedd yr adroddiad yn methu â chydabod nad taliadau uniongyrchol oedd yr opsiwn cywir ym mhob achos bob amser.

Roedd yr adolygiad wedi nodi 10 argymhelliad oedd wedi'u cynnwys yn yr adroddiad.

Rhoddwyd sylw i'r ymholiadau/sylwadau a godwyd ynghylch yr adroddiad, fel a ganlyn:

- Dywedodd Aelodau'r Pwyllgor ei bod yn galonogol bod yr adroddiad yn gadarnhaol, ar y cyfan, a bod yr agweddau a godwyd yn unol â'r hyn sy'n digwydd ledled Cymru.

- Cyfeiriwyd at baragraff a nodwyd ar dudalen 5 yr adroddiad - 'Mae'n ofynnol i awdurdodau lleol roi cymorth i bobl reoli eu Taliad Uniongyrchol a'u cyfrifoldebau cyflogaeth'. Gofynnwyd sut yr ymdriniwyd â hyn? Esboniodd Pennaeth y Gwasanaethau Integredig fod tîm y gwasanaeth cymorth mewnol yn rhoi cyngor ac arweiniad i unigolion i reoli eu taliad uniongyrchol.
- Mewn ymateb i ymholiad ynglŷn â pholisi'r Cyngor o ran hawlio taliadau oedd wedi cronni yn ôl, eglurodd Pennaeth y Gwasanaethau Integredig fod proses gymharol gymhleth ar hyn o bryd o ran adolygu sefyllfa cyfrifon unigol, ond roedd atebion technolegol yn cael eu hystyried i helpu i reoli cyfrifon unigol megis cardiau wedi'u rhagdal.
- Mynegwyd pryder nad oedd crynodeb gweithredol yr adroddiad wedi cynnwys unrhyw oblygiadau cost/ariannol neu staffio nac wedi tynnu sylw at y materion hynny. Wrth gydnabod, o ystyried natur yr adroddiad, bod goblygiadau o ran materion ariannol a staffio, dywedodd Pennaeth y Gwasanaethau Integredig nad oedd unrhyw oblygiadau staffio nac ariannol newydd i dynnu sylw atynt gan fod y seilwaith staffio eisoes ar waith a bod y cyllidebau eisoes wedi'u dyrannu. Er mwyn bodloni'r argymhellion a nodwyd yn yr adroddiad, byddai staff a chyllidebau presennol yn cael eu defnyddio a'u sianelu yn unol â hynny.
- Mewn ymateb i ymholiad yn gofyn a fyddai'r adroddiad hwn yn cael ei gyflwyno i'r Pwyllgor Craffu - lechyd a Gwasanaethau Cymdeithasol, eglurodd Pennaeth y Gwasanaethau Integredig nad oedd yn ofynnol iddo gael ei gyflwyno i'r Pwyllgor Craffu o safbwynt llywodraethu.
- ran y Taliadau Uniongyrchol, wrth gydnabod bod dyraniad ar gyfer 'time for care', gwnaed sylw bod dyraniad digonol ar gyfer costau sy'n gysylltiedig â rhoi taliadau uniongyrchol i unigolion. Eglurodd Pennaeth y Gwasanaethau Integredig fod tîm y gwasanaeth cymorth mewnol yn cynnwys cost y gyflogres. Mae'r berthynas gyflogi yn cael ei chynnwys yn y gyfradd ac yn cael ei rheoli'n unigol. Yn ogystal, mae Sir Gaerfyrddin yn mabwysiadu strwythur talu hyblyg. Er bod cyfraddau penodol ar gyfer rhai agweddau ar ofal mae cyfraddau eraill yn cael eu pennu gan anghenion a threfniadau unigolyn o ran ei ofal a'i gymorth.
- Mewn ymateb i ymholiad ynghylch adrodd ar gynnydd yr argymhellion yn yr adroddiad, dywedodd y Pennaeth Refeniw a Chydymffurfiaeth Ariannol y byddai'r Pwyllgor yn derbyn yr Adroddiad Blynyddol sy'n cynnwys pob adolygiad archwilio allanol, gan gynnwys yr adolygiad hwn, i'w hystyried ym mis Rhagfyr 2022.

PENDERFYNWYD YN UNFRYDOL:

3.2.1 nodi canfyddiadau ac argymhellion adroddiad cenedlaethol Archwilio Cymru;

3.2.2 cymeradwyo ymateb Cyngor Sir Caerfyrddin i argymhellion yr adroddiad cenedlaethol sy'n berthnasol i'r Cyngor.

4. Y DIWEDDARAF YNGHYLCH AR CYNLLUN ARCHWILIO MEWNOL 2022/23

Bu'r Pwyllgor yn ystyried adroddiad a oedd yn rhoi'r wybodaeth ddiweddaraf am y cynnydd oedd yn cael ei wneud o ran gweithredu Cynllun Archwilio Mewnol 2022/23. Dywedwyd bod y gyfradd gwblhau hyd yma yn 28% yn erbyn y targed cwblhau o 30%. Adolygodd y Pwyllgor y cynnydd a wnaed mewn perthynas â chyflwyno'r rhaglen archwilio yn briodol.

Yna, tynnwyd sylw'r Pwyllgor at yr Adroddiadau Argymhellion Blaenoriaeth 1 a oedd wedi'u cwblhau a oedd yn cynnwys adolygiadau a gwblhawyd lle'r oedd gan systemau un neu fwy o wendidau rheoli sylfaenol neu a oedd yn cynnwys adolygiadau yr oedd Cadeirydd y Pwyllgor Llywodraethu ac Archwilio a'r Pennaeth Refeniw a Chydymffurfiaeth Ariannol wedi cytuno y dylid eu rhoi gerbron y Pwyllgor. Ystyriodd y Pwyllgor yn briodol yr adolygiadau canlynol a gafodd eu hatodi i'r adroddiad fel Rhan Bi a Rhan Bii:

1. Prydau Ysgol - Anghenion arbennig o ran diet
2. Teithio a Chynhaliaeth

Rhoddwyd sylw i'r materion/sylwadau a godwyd gan y Pwyllgor, fel a ganlyn:

Rhan Bii: Prydau Ysgol - Anghenion arbennig o ran diet

- Ran alergenau bwyd, dywedwyd ei bod yn hanfodol bod ysgolion yn mabwysiadu arferion cyfathrebu da rhwng yr holl athrawon a'r gwasanaeth arlwygo a beth i'w wneud yn achos adwaith. Braff oedd nodi bod mesurau wedi'u rhoi ar waith.
- Dywedwyd ei bod yn gadarnhaol nodi bod mesurau wedi'u rhoi ar waith i roi cyfrif am drosglwyddiadau canol tymor. O ran dilyniant disgyblion blwyddyn 6 o ysgolion cynradd i flwyddyn 7 mewn ysgolion uwchradd gofynnwyd a fyddai'n ofynnol i rieni ailgofnodi alergenau neu anghenion arbennig o ran deiet? Dywedodd y Pennaeth Mynediad i Addysg y gofynnir i rieni nodi unrhyw ofynion deietegol arbenigol ar y ffurflen gais fel rhan o geisiadau derbyn i'r ysgol o Flwyddyn 6 i Flwyddyn 7. Bydd y wybodaeth hon ar gael i staff yr ysgol uwchradd, yn ogystal bydd y staff yn cysylltu â'r rhiant i drafod y gofynion dietegol penodedig a beth i'w wneud os bydd adwaith.

Mewn ymateb i ymholiad ychwanegol, eglurwyd, gan fod ysgolion cynradd ac ysgolion uwchradd yn gweithredu systemau gwahanol, bod cyfrifoldeb cychwynnol ar rieni i ddarparu gwybodaeth gyfredol a'r ysgol hefyd i sicrhau bod yr holl staff yn ymwybodol.

- Gofynnwyd a oedd unrhyw bolisiâu ychwanegol ar waith i ddiogelu plant mewn gofal maeth? Dywedodd y Pennaeth Mynediad i Addysg nad oedd yn ymwybodol o unrhyw bolisiâu ychwanegol sydd ar waith fodd bynnag, rhoddodd sicrwydd y byddai'n codi'r pwynt hwn gyda'r gwasanaeth perthnasol ac y byddai'n rhoi unrhyw fesurau ychwanegol a nodwyd ar waith.
- Wrth gydnabod arwyddocâd pobl sy'n dioddef o alergenau bwyd, gofynnwyd a oedd y mater hwn yn cael ei gynnwys yng nghofrestr risg yr adran addysg ar gyfer monitro? Nid oedd y Pennaeth Mynediad i Addysg yn gallu rhoi ateb pendant adeg y cyfarfod ond byddai'n gwirio ac yn cadarnhau a oedd yn cael ei gynnwys ar y gofrestr risg neu beidio. Ychwanegodd, pe na bai'n cael ei gynnwys, y byddai'n sicrhau y byddai'n cael ei ychwanegu.
- Gofynnwyd a oedd polisi neu system ar waith i adrodd ar ddamweiniau a fu bron â digwydd a'u monitro. Dywedodd y Pennaeth Mynediad i Addysg nad oedd yn ymwybodol o unrhyw fecanwaith adrodd penodol ar waith yn dilyn yr angen i ddefnyddio EpiPen, fodd bynnag, mae gan bob ysgol system adrodd gyffredinol ar waith o ran iechyd a diogelwch ac felly rhagwelwyd y byddai hyn yn cael ei gofnodi drwy'r system honno. Dywedodd y Pennaeth Mynediad i Addysg y byddai'n holi ymhellach. Ychwanegodd y Prif Weithredwr Cynorthwyol (Rheoli Pobl a Pherfformiad) mewn perthynas â chofnodi alergenau mewn ysgolion, er bod ysgolion yn cofnodi materion ar eu cronfeydd data lleol, eu bod hefyd yn cael eu bwydo i'r tîm iechyd a diogelwch corfforaethol. Rhoddwyd sicrwydd bod digwyddiadau a oedd yn codi yn cael eu hystyried ac yr ymatebir iddynt yn ganolog ac yn gorfforaethol o ran polisiâu a chanllawiau yn ôl yr angen.
- Mewn ymateb i ymholiad ynglŷn â'r gadwyn gyflenwi, dywedodd y Pennaeth Mynediad i Addysg fod gan y cyflenwyr a ddefnyddir ddull cadarn o ran labelu ar gyfer cynhwysion y bwyd a gyflenwir.
- Awgrymwyd y gellid trefnu sesiynau briffio i godi ymwybyddiaeth er mwyn sicrhau bod staff Ysgol a Chyrff Llywodraethu Ysgolion yn cael gwybod am y gofynion a'r wybodaeth angenrheidiol. Croesawodd y Pennaeth Mynediad i Addysg yr adborth a chytunodd y byddai sesiynau briffio i benaethiaid a chyrff llywodraethu ysgolion yn fuddiol i godi'r mater pwysig hwn.

Rhan Bii: Teithio a Chynhaliaeth

Yn ogystal â'r adroddiad, dywedodd y Prif Weithredwr Cynorthwyol (Rheoli Pobl a Pherfformiad) wrth y Pwyllgor fod y Polisi Teithio a Threuliau Cysylltiedig wedi newid o ganlyniad i gael ei ystyried gan y Tîm Rheoli Corfforaethol yn ddiweddar. Yn ogystal, er mwyn sicrhau bod hyn yn cael ei gyfathrebu'n glir i staff, byddai cynllun gweithredu'n cael ei ddatblygu ar y cyd â'r Tîm Cyfathrebu. Yn ogystal, roedd gwaith yn cael ei wneud ar hyn o bryd gyda'r tîm Trawsnewid i Wneud Cynnydd i ddatblygu dangosfwrdd gwariant arferol i alluogi cynnal dadansoddiad er mwyn llywio datblygiad polisiâu'r dyfodol.

- Gwnaed ymholiad ynghylch y polisi newydd a phryd y byddai'n dod i rym. Eglurodd y Prif Weithredwr Cynorthwyol (Rheoli Pobl a Pherfformiad) fod y polisi yn cael ei ystyried gan y Tîm Rheoli Corfforaethol ar hyn o bryd ac er

bod ganddo ddigon o ddirprwyaeth i gymeradwyo'r polisi, y gobaith oedd y byddai'r polisi'n cael ei gymeradwyo yn fuan yn dilyn trafodaethau angenrheidiol gyda Phennaeth y Gyfraith a Gweinyddiaeth.

PENDERFYNWYD YN UNFRYDOL nodi adroddiad cynnydd y Diweddariad ynghylch Cynllun Archwilio Mewnol 2022/23 ac adroddiadau argymhellion blaenoriaeth 1.

5. COFRESTR RISG GORFFORAETHOL 2022/23 CYNGOR SIR CAERFYRDDIN

Bu'r Pwyllgor yn ystyried y Gofrestr Risg Gorfforaethol 2022/23 a oedd yn cael ei chadw er mwyn gwerthuso'r risgiau strategol allweddol y mae'r Cyngor yn eu hwynebu.

Nododd y Pwyllgor, yn dilyn ei ystyriaeth flaenorol, fod y Tîm Rheoli Corfforaethol wedi adolygu'r Gofrestr Risg Gorfforaethol a'i fod wedi gwneud nifer o newidiadau a oedd yn cynnwys cael gwared ar risgiau, ychwanegu risgiau newydd ac uno risgiau a nodwyd pob un ohonynt yn yr adroddiad.

Rhodddwyd sylw i'r materion/sylwadau a godwyd gan y Pwyllgor, fel a ganlyn:

- Dywedodd y Pennaeth Refeniw a Chydymffurfiaeth Ariannol, ar gais y Cadeirydd absennol, wrth y Pwyllgor am ei sylwadau. Er ei bod yn ddealladwy bod y Gofrestr Risg yn cynnwys llawer o fanylion, teimlai'r Cadeirydd fod cyfeiriadau yn y Gofrestr Risg y dylid tynnu sylw'r Pwyllgor atynt nad oeddent yn cael eu hadlewyrchu ym Mlaenraglen Waith y Pwyllgor ar hyn o bryd. Wrth ystyried y sylw a ddaeth i law'r Cadeirydd, dywedodd y Pennaeth Refeniw a Chydymffurfiaeth Ariannol y byddai'n ymgymryd â darn o waith i fynd drwy'r gofrestr i nodi unrhyw faterion perthnasol i'w cynnwys ar y Blaengynllun Gwaith er mwyn i'r Pwyllgor eu hystyried.
- Wrth gydnabod bod sgoriau'r risgiau heb eu rheoli a'r risgiau presennol gyda mesurau lliniaru ar waith yr un peth, sylwyd bod llawer o risgiau gyda mesurau lliniaru ar waith ond nid oedd yn ymddangos eu bod yn lleihau'r risg heb ei reoli. Gofynnwyd am eglurhad. Eglurodd y Pennaeth Refeniw a Chydymffurfiaeth Ariannol fod y broses bresennol lle mae'r Tîm Rheoli Adrannol a'r Tîm Rheoli Corfforaethol yn cynnal trafodaethau manwl ar y sefyllfa o ran y risgiau wedi nodi bod rhai o'r risgiau, hyd yn oed gyda'r mesurau lliniaru, yn cael eu hystyried yn rhai sylfaenol. Wrth ddilyn y sylw hwn, dywedodd y Pennaeth Refeniw a Chydymffurfiaeth Ariannol y byddai'n herio'r rhesymeg ymhellach yn y trafodaethau ac yn ail-ystyried y sgoriau risg cychwynnol.
- Er mwyn i Aelodau'r Pwyllgor gael gwell dealltwriaeth o'r Gofrestr Risgiau, awgrymwyd y byddai gweithdy yn fuddiol. Byddai hyn yn rhoi cyfle i wahodd swyddogion a chynrychiolwyr mewn meysydd eraill lle er enghraifft cafodd Coronafeirws effaith fawr arnynt. Cytunodd y Pennaeth Refeniw a Chydymffurfiaeth Ariannol y byddai'n fuddiol a byddai'n trefnu sesiwn anffurfiol maes o law.
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- Mewn ymateb i sylw a wnaed mewn perthynas â lle mae'r risgiau cyfrifoldebau'n perthyn a'r risgiau sy'n gysylltiedig â phandemig, eglurodd y Pennaeth Refeniw a Chydymffurfiaeth Ariannol fod cofrestr risg ar wahân yn ystod y pandemig a oedd yn cynnwys yr holl risgiau yn ymwneud â phandemig Covid, ond yn ystod y cyfnod adfer fe gafodd y risgiau eu symud wedyn i'r gofrestr risg gorfforaethol. Fodd bynnag, wrth gydnabod y sylwadau a godwyd, awgrymwyd y byddai angen ystyried datblygu cofrestr risg pandemig yn hytrach na chofrestr risg benodol yn ymwneud â phandemig Covid ac y byddai'n codi'r mater hwn gyda'r Tîm Rheoli Corfforaethol.

PENDERFYNWYD YN UNFRYDOL nodi Cofrestr Risg Gorfforaethol Cyngor Sir Caerfyrddin 2022/23.

6. ADRODDIAD BLYNYDDOL GWRTH-DWYLL A GWRTH-LYGREDD 2021/22

Cafodd y Pwyllgor Adroddiad Atal Twyll ac Arferion Llwgr Blynyddol 2021/22 i'w ystyried, a oedd yn rhoi crynodeb o weithgareddau swyddogaeth Atal Twyll y Cyngor ar gyfer y flwyddyn ariannol 2021/22.

Mae ystod a natur amrywiol y gwasanaethau a gweithgareddau, ynghyd â maint ei weithrediadau a'i gyllidebau, yn anochel yn creu perygl twyll ac arferion llwgr i Gyngor Sir Caerfyrddin, o ffynonellau mewnol ac allanol fel ei gilydd. Mae Llywodraethu Corfforaethol da yn mynnu bod yr Awdurdod yn dangos yn glir ei ymrwymiad i fynd i'r afael â thwyll ac arferion llwgr ac y bydd yn ymdrin yn gyfartal â chyflawnwyr o'r tu mewn ac o'r tu allan i'r Cyngor.

Rhodddwyd sylw i'r materion/sylwadau a godwyd gan y Pwyllgor, fel a ganlyn:

- Cyfeiriwyd at y tablau yn yr adroddiad. Gofynnwyd a allai'r holl dablau yn y dyfodol gynnwys gwybodaeth am flynyddoedd blaenorol at ddibenion cymharu. Dywedodd y Pennaeth Refeniw a Chydymffurfiaeth Ariannol y byddai gwybodaeth gymharol yn cael ei chynnwys yn yr adroddiad lle bo'n bosibl.

PENDERFYNWYD YN UNFRYDOL nodi Adroddiad Atal Twyll ac Arferion Llwgr Blynyddol 2021/22.

7. LLYTHYR BLYNYDDOL YR OMBWDSMON 2021/2022 CYNGOR SIR CAERFYRDDIN

[SYLWER:

- Cafodd yr eitem hon ei hystyried ar ôl eitem 8 ar yr agenda;
- Ar ôl datgan buddiant yn yr eitem hon yn gynharach, arhosodd Mr M. MacDonald yn y cyfarfod, ond ni chymerodd ran yn y trafodaethau na'r bleidlais ddilynol.]

Cafodd y Pwyllgor llythyr blynyddol 2021/22 gan Ombwdsmon Gwasanaethau Cyhoeddus Cymru i'w ystyried.

Bob blwyddyn mae Ombwdsmon Gwasanaethau Cyhoeddus Cymru yn rhoi llythyr i bob Cyngor Sir yng Nghymru ar ffurf taflen ffeithiau ynghyd â'r data cysylltiedig er mwyn helpu i adolygu perfformiad.

Bu'r Pwyllgor yn ystyried y llythyr yn briodol a'r pwyntiau allweddol sy'n codi o'r llythyr a'r daflen ffeithiau a atodir fel y crynhoir yn yr adroddiad.

Amlygodd yr adroddiad, fel y dangoswyd yn Atodiad C, nad oedd unrhyw adroddiadau wedi'u cyflwyno yn erbyn Sir Gaerfyrddin, naill ai wedi'u cadarnhau neu heb eu cadarnhau. Hefyd, mae'r ffigyrau o ran Côt ymddygiad ar gyfer Sir Gaerfyrddin yn Atodiadau E ac F yn dangos nad oedd unrhyw achosion wedi'u cyfeirio at y Pwyllgor Safonau na Phanel Dyfarnu Cymru.

Rhodddwyd sylw i'r materion/sylwadau a godwyd gan y Pwyllgor, fel a ganlyn:

- Cyfeiriwyd at dudalen 2 o'r llythyr a oedd yn nodi 'Mae'r Awdurdod Safonau Cwynion bellach wedi gweithredu polisi cwynion enghreifftiol gyda bron i 50 o gyrff cyhoeddus, ac wedi darparu 140 o sesiynau hyfforddi...'. Gofynnwyd am gadarnhad os oedd Sir Gaerfyrddin wedi bod yn rhan o'r sesiynau ac os felly ar ba lefel? Cadarnhaodd y Rheolwr Polisi Corfforaethol a Phartneriaeth, fel arweinydd y Tîm Cwynion Corfforaethol, ar ôl gweithredu'r polisi cwynion enghreifftiol, fod y Cyngor wedi ymgysylltu'n llawn a bod gan y tîm berthynas waith ardderchog gyda'r Awdurdod Safonau Cwynion.

Yn ogystal, dywedodd y Rheolwr Polisi Corfforaethol a Phartneriaeth y byddai ystyriaeth yn cael ei rhoi yn y dyfodol o ran sicrhau bod Llythyr Ombwdsmon Gwasanaethau Cyhoeddus Cymru a'r adroddiad cwynion corfforaethol sydd i'w gyflwyno i'r Pwyllgor yn ddiweddarach eleni, yn cyd-fynd yn well â Blaenraglen Waith y Pwyllgor.

- Mynegwyd bod nifer y cwynion a dderbyniwyd wedi'i nodi yn Atodiad A a bod Atodiad B yn rhannu'r wybodaeth ymhellach yn ôl pwnc, gan ddynodi pa adrannau y priodolwyd y cwynion a gafwyd. Fodd bynnag, sylwyd er bod nifer yr achosion lle ymyrrodd Ombwdsmon Gwasanaethau Cyhoeddus Cymru yn cael eu dangos yn Atodiad D, y byddai wedi bod yn ddefnyddiol derbyn gwybodaeth ychwanegol am yr Achosion lle ymyrrodd Ombwdsmon Gwasanaethau Cyhoeddus Cymru yn ôl pwnc, yn debyg i Atodiad B. Byddai'n fuddiol i'r Cyngor dderbyn dadansoddiad o'r fath er mwyn gallu cynnal gwaith dadansoddi, craffu a monitro yn fewnol gyda'r bwriad o roi mesurau mewnol ar waith yn unol â hynny.

Eglurodd y Rheolwr Cynnal Practis, Gweinyddiaeth a'r Gyfraith na fyddai'r Ombwdsmon mewn sefyllfa i rannu gwybodaeth benodol am achosion unigol o ganlyniad i ofynion diogelwch data a'r ddeddfwriaeth y mae'r Ombwdsmon yn gweithredu oddi tani. Dywedodd y Rheolwr Polisi Corfforaethol a Phartneriaeth wrth Aelodau'r Pwyllgor fod y system gwynion fewnol yn cofnodi cwynion yn fanwl gan ddarparu'r wybodaeth er mwyn gallu dadansoddi tueddiadau, nodi lle byddai ymyrraeth fewnol yn fuddiol a sicrhau monitro parhaus. Byddai'r adroddiad cwynion corfforaethol yn cynnwys dadansoddiad o'r cwynion yn ôl adrannau ac is-adrannau, heb gynnwys manylion penodol am achosion unigol.

Roedd aelodau'r pwyllgor o'r farn na fyddai cynnwys dadansoddiad yn ôl adran/pwnc yn torri cyfrinachedd. Cynigwyd rhoi adborth i'r Ombwdsmon y byddai'n fuddiol i Gynghorau wrth reoli cwynion gynnwys dadansoddiad pellach o Achosion lle ymyrrodd Ombwdsmon Gwasanaethau Cyhoeddus Cymru yn ôl pwnc, yn debyg i Atodiad B - nifer y cwynion yn ôl pwnc, yn y data cysylltiedig a atodwyd i lythyr blynyddol Ombwdsmon Gwasanaethau Cyhoeddus Cymru. Eiliwyd y Cynnig.

Cyflwynwyd cynnig pellach y dylid anfon copi o gofnodion y cyfarfod hwn at yr Ombwdsmon. Eiliwyd y cynnig hwn.

- Cyfeiriwyd at y pwynt yn y llythyr y byddai'r Ombwdsmon yn 'croesawu adborth ar adolygiad eich Pwyllgor Llywodraethu ac Archwilio o ran gallu eich awdurdod i ymdrin â chwynion yn effeithiol'. Gofynnwyd beth oedd y dull gorau er mwyn rhoi adborth digonol? Dywedodd y Rheolwr Polisi Corfforaethol a Phartneriaeth fod y Polisi Cwynion Corfforaethol wedi'i ddiweddarau wedi cael ei ystyried gan y Pwyllgor a bod sesiwn ddatblygu wedi'i threfnu fel rhan o raglen sefydlu'r aelodau er mwyn darparu gwybodaeth am gwynion a sut maent yn cael eu rheoli'n fewnol. Cydnabuwyd y byddai'r sesiwn ddatblygu hefyd yn fuddiol i aelodau lleig y Pwyllgor Llywodraethu ac Archwilio a'r Pwyllgor Safonau. Cytunwyd i ddisbarthu'r wybodaeth a byddai gwahoddiad i'r sesiwn yn cael ei anfon yn fuan. Os na fydd aelodau ar gael i fynd i'r sesiwn, byddai recordiad ar gael i'w wyllo.
- ran y nifer uchel o gwynion a gafwyd ynghylch Gwasanaethau Cymdeithasol i Oedolion, gofynnwyd a fyddai cyfle i ystyried nifer y cwynion yn y Pwyllgor Craffu - lechyd a Gwasanaethau Cymdeithasol? Cadarnhaodd y Rheolwr Polisi Corfforaethol a Phartneriaeth y byddai pob Pwyllgor Craffu yn cael cyfle i ystyried yr adroddiad cwynion corfforaethol o ran unrhyw gwynion i'r cyngor. Dywedodd Cyfarwyddwr y Gwasanaethau Corfforaethol y dylai'r Cadeirydd ac Aelodau'r Pwyllgor Craffu ofyn am y wybodaeth am y cwynion a briodolir i Ofal Cymdeithasol i Oedolion. Cafodd hyn ei gadarnhau gan Bennaeth y Gyfraith a Gweinyddiaeth a ychwanegodd, gyda chyfrinachedd mewn golwg, na fyddai unrhyw reswm na ellid paratoi adroddiad dienw er mwyn i'r Pwyllgor Craffu ei ystyried, a allai gynnwys y themâu a'r gwersi a ddysgwyd yn sgil ymchwiliad/ymchwiliadau'r Ombwdsmon.

PENDERFYNWYD YN UNFRYDOL;

7.1 derbyn Llythyr Blynyddol yr Ombwdsmon 2021/2022;

7.2 cyflwyno barn y Pwyllgor o ran cynnwys gwybodaeth ychwanegol, ynghyd â chopi o gofnodion y cyfarfod hwn, i'r Ombwdsmon.

RHEOLAU GWEITHDREFN ARIANNOL

[**SYLWER:** Cafodd yr eitem hon ei hystyried cyn eitem 7 ar yr agenda]

Cafodd y Pwyllgor y Rheolau Gweithdrefnau Ariannol i'w hystyried a oedd wedi'u diwygio i sicrhau bod y wybodaeth a geir yn gyfredol ac yn briodol.

Nododd yr Aelodau fod y Rheolau Gweithdrefnau Ariannol hyn wedi'u llunio i ddarparu strwythur i swyddogion ac aelodau ei ddilyn, gan ganiatáu i'r Swyddog Adran 151 gyflawni ei ddyletswydd statudol o dan Ddeddf Cyllid Llywodraeth Leol 1972 (Adran 151) ar gyfer y "weinyddiaeth briodol o faterion ariannol y Cyngor".

Mae'r Pwyllgor Llywodraethu ac Archwilio wedi dirprwyo awdurdod, fel rhan o Gyfansoddiad y Cyngor, i ystyried a chymeradwyo diwygiadau i'r Rheolau Gweithdrefnau Ariannol.

Rhodddwyd sylw i'r materion/sylwadau a godwyd gan y Pwyllgor, fel a ganlyn:

- Cyfeiriwyd at adran 5.18 yr adroddiad - Cansladau, Gweithdrefnau Dileu Dyledion a Pheidio ag adennill Dyledion. Gofynnwyd, beth oedd rôl y Pwyllgor Llywodraethu ac Archwilio yng nghyd-destun y paragraff? Dywedodd Cyfarwyddwr y Gwasanaethau Corfforaethol, er na fyddai angen unrhyw gyfraniad gan y Pwyllgor hwn, byddai diffiniadau clir yn cynnig manteision clir o ran y Pwyllgor gan sicrhau bod y gweithdrefnau priodol ar waith. Hefyd, eglurwyd bod dileu dyledion yn weithdrefn weithredol, gyda gwerthoedd llai wedi'u dirprwyo i'r Swyddog Adran 151 a byddai achosion o ddileu dyledion mwy sylweddol yn cael eu penderfynu yng nghyfarfod Penderfyniadau ffurfiol yr Aelod Cabinet dros Adnoddau. Byddai gan y Pwyllgor rôl i'w chwarae o ran cwestiynu unrhyw faterion annerbyniol fel y nodwyd gan archwiliad mewnol ac allanol.
- Cyfeiriwyd at adran 5.22 yr adroddiad; Cwmnïau sy'n cadw arian ar ran yr Awdurdod. Dywedwyd y gallai'r mater hwn gael effaith ar y cyfrifon blynyddol terfynol ac, yn bwysig ddigon, gofynnwyd sut y byddai hyn yn cael ei nodi i sicrhau gwybodaeth er mwyn galluogi cau cyfrifon ddiwedd mis Mawrth. Mynegwyd pryder ynghylch a oedd prosesau digonol ar waith i sicrhau bod atebolrwydd am yr arian a gedwir ar ddiwedd y flwyddyn yn digwydd?

- Mewn ymateb i sylw a godwyd, o ran cryfhau'r geiriad yn adran 6.2 yr adroddiad; Caledwedd a Meddalwedd TG, mewn perthynas â gosod cyfyngiadau mewn achosion o lanlwytho / lawrlwytho meddalwedd ar offer TG y Cyngor, dywedodd y Pennaeth Refeniw a Chydymffurfiaeth Ariannol y byddai'n cysylltu ag adran TG y Cyngor i gadarnhau a oedd geiriad mwy cadarn yn briodol. Yn ogystal, eglurwyd, yn unol â'r polisi TG Corfforaethol, na chaniatawyd lawrlwytho meddalwedd a bod cyfyngiadau ar waith yn atal aelodau staff rhag gwneud hynny.

PENDERFYNWYD YN UNFRYDOL gymeradwyo'r newidiadau yn y Rheolau Gweithdrefn Ariannol, fel y nodwyd yn yr adroddiad.

9. RHEOLAU GWEITHDREFN CONTRACTAU DIWYGIEDIG

Cafodd y Pwyllgor y Rheolau o ran Gweithdrefnau Contractau Diwygiedig i'w hystyried a oedd wedi'u hadolygu a'u diweddarau i ystyried nifer o newidiadau yng ngweithdrefnau caffael y Cyngor a newidiadau mewn terminoleg yn sgil y DU yn gadael yr UE.

Roedd y Rheolau o ran Gweithdrefnau Contractau wedi'u diweddarau yn dilyn ymgynghoriadau manwl gyda swyddogion yn yr adran Gyfreithiol, y Swyddog Adran 151 a'r Swyddog Monitro.

Nododd yr aelodau y newidiadau mwyaf nodedig a wnaed fel y nodwyd yn yr adroddiad.

Rhodddwyd sylw i'r materion/sylwadau a godwyd gan y Pwyllgor, fel a ganlyn:

- Mewn ymateb i ymholiad a godwyd ynghylch diogelu'r Cyngor o ran sicrhau bod contractwyr yn ddiogel yn ariannol ac yn gallu gwneud y gwaith gofynnol, dywedodd y Rheolwr Caffael - Strategaeth a Chydymffurfiaeth fod cymal 8.5 o'r rheolau yn sicrhau yr ymgynghorir â Thîm Cyllid yr Awdurdod ynghylch unrhyw dendrau cyn dechrau ymarfer tendro. Yn ogystal, mae'r cymal yn sicrhau bod y gwiriadau angenrheidiol a'r gwiriadau diwydrwydd yn cael eu cynnal o'r cychwyn cyntaf gyda gwiriadau cyson yn cael eu cynnal trwy gydol cyfnod y contract neu'r fframwaith.
- Cyfeiriwyd at 14.1 yr adroddiad. Gwnaed sylw y dylai'r frawddeg adlewyrchu enw'r Pwyllgor; 'Bydd unrhyw addasiadau'n amodol ar gymeradwyaeth Pwyllgor **Llywodraethu ac** Archwilio'r Awdurdod.

PENDERFYNWYD YN UNFRYDOL gymeradwyo'r newidiadau yn y Rheolau Gweithdrefnau Contractau, fel y nodwyd yn yr adroddiad.

10. 2022/23 BLAENRAGLEN WAITH Y PWYLLGOR LLYWODRAETHU AC ARCHWILIO

The Committee considered the Forward Work Programme for the 2022/23 Governance and Audit Committee Cycle which detailed the items to be presented to Committee at scheduled meetings during the forthcoming year, in addition to a programme of development sessions in order to equip Members with the necessary skills to effectively undertake their role on the Committee.

At the request of the Corporate Policy and Partnership Manager, it was reported that it had been necessary to defer the Corporate Complaints Report programmed to be considered in October to December 2022.

The Head of Revenues and Financial Compliance stated that at the request of the Committee made earlier today, she had noted that the next development session would be on the Corporate Risk Register.

In addition, enquires would be made with the relevant police officers to ascertain if the Fraud training would be re-instated.

UNANIMOUSLY RESOLVED that the Governance and Audit Committee's Forward Work Programme 2022/23 be noted.

11. COFNODION GRWPIAU PERTHNSAOL I'R PWYLLGOR LLYWODRAETHU AC ARCHWILIO:

11.1. COFNODION Y GRŴP LLYWODRAETHU CORFFORAETHOL

Dyweddodd y Pennaeth Refeniw a Chydymffurfiaeth Ariannol wrth y Pwyllgor fod Atodiad Datganiad Llywodraethu Blynyddol y Cynllun Gweithredu wedi cael ei hepgor yn anfwriadol o'r cofnodion ar yr agenda. Fodd bynnag, cafodd y Pwyllgor wybod bod y datganiad wedi'i drafod yng nghyfarfod y Grŵp Llywodraethu Corfforaethol yn y cyfarfod a gynhaliwyd ar 15 Chwefror 2022 a mynychodd Cadeirydd y Pwyllgor hwn fel arsylwr. Yn ogystal, byddai'r datganiad yn rhan o'r Datganiad Cyfrifon a fyddai'n cael ei ystyried gan y Pwyllgor Llywodraethu ac Archwilio yn ei gyfarfod nesaf ym mis Hydref 2022.

PENDERFYNWYD YN UNFRYDOL dderbyn cofnodion cyfarfod y Grŵp Llywodraethu Corfforaethol a gynhaliwyd ar 15 Chwefror, 2022.

12. LLOFNODI YN GOFNOD CYWIR COFNODION CYFARFOD PWYLLGOR LLYWODRAETHU AC ARCHWILIO AR 15 GORFFENNAF 2022

Mynegwyd y sylwadau canlynol:-

- Cofnod 8.1 – mae angen newid y penderfyniad i gynnwys 'nodi':-

“PENDERFYNODD YN UNFRYDOL **nodi'r** Diweddariad ynghylch Rhaglen Waith Archwilio Cymru.”

- Dylai'r cyfeiriad at 2022-23 yn yr ail bwynt bwled yng nghofnod 8.2 adlewyrchu 2022/23.

PENDERFYNWYD, ar yr amod y byddai'r newidiadau yn cael eu gwneud, lofnodi cofnodion cyfarfod y Pwyllgor Llywodraethu ac Archwilio a gynhaliwyd ar 15 Gorffennaf, 2022, i nodi eu bod yn gywir.

[SYLWER: Mae'r cofnodion hyn yn dilyn trefn y materion oedd ar agenda'r cyfarfod, a allai fod yn wahanol i drefn y materion mewn unrhyw weddarlllediad]

CHAIR

DATE

2. DATGANIADAU O FUDDIANNAU PERSONOL.

Yr Aelod	Eitem ar yr Agenda	Y Math o Fuddiant
Y Cynghorydd K. Davies	5 - Datganiad Cyfrifon Cronfa Bensiwn Dyfed (yn cynnwys 5.1 - 5.4)	Aelod o Gronfa Bensiwn Dyfed
Y Cynghorydd L. Davies	5 - Datganiad Cyfrifon Cronfa Bensiwn Dyfed (yn cynnwys 5.1 - 5.4)	Aelod o Gronfa Bensiwn Dyfed
M. MacDonald	5 - Datganiad Cyfrifon Cronfa Bensiwn Dyfed (yn cynnwys 5.1 - 5.4)	Aelod o Gronfa Bensiwn Dyfed
Y Cynghorydd D. Nicholas	5 - Datganiad Cyfrifon Cronfa Bensiwn Dyfed (yn cynnwys 5.1 - 5.4)	Aelod o Gronfa Bensiwn Dyfed
Y Cynghorydd P. T. Warlow	5 - Datganiad Cyfrifon Cronfa Bensiwn Dyfed (yn cynnwys 5.1 - 5.4)	Aelod o Gronfa Bensiwn Dyfed
Y Cynghorydd D. E. Williams	5 - Datganiad Cyfrifon Cronfa Bensiwn Dyfed (yn cynnwys 5.1 - 5.4)	Aelod o Gronfa Bensiwn Dyfed Cadeirydd Pwyllgor Cronfa Bensiwn Dyfed

3. DATGAN CYFRIFIADURON CYNGOR SIR GAERFYRDDIN.

3.1. ADRODDIAD DATGANIADAU ARIANNOL - CYNGOR SIR CAERFYRDDIN

Bu'r Pwyllgor yn ystyried Adroddiad Archwilio Cymru ar yr Archwiliad o Gyfrifon. Roedd yr adroddiad yn crynhoi'r prif ganfyddiadau a ddeilliodd o'r archwiliad a gynhaliwyd gan Archwilio Cymru o gyfrifon yr Awdurdod ar gyfer 2021/22.

Yr Archwilydd Cyffredinol oedd yn gyfrifol am ddarparu sylwadau ynghylch a oedd y datganiadau ariannol yn olwg gywir a theg ar sefyllfa Cyngor Sir Caerfyrddin ar 31 Mawrth 2022.

Tynnodd Mr J Blewitt, Cynrychiolydd Archwilio Cymru, sylw'r Pwyllgor at baragraff 6 o'r adroddiad gan roi'r wybodaeth ddiweddaraf am y gwaith archwilio rhagorol a oedd wedi ei gwblhau ers dosbarthu'r ddogfen.

Cyfeiriwyd at yr adolygiad cenedlaethol parhaus o'r modd yr ymdrinnir â chyfrifon a'r datgeliadau sydd eu hangen ar gyfer asedau seilwaith. Dywedwyd wrth y

Pwyllgor nad oedd modd ardystio'r cyfrifon nes bod y diystyriad statudol a gynigiwyd gan Lywodraeth Cymru wedi'i roi ar waith.

Roedd y Pwyllgor yn falch o nodi bod Archwilio Cymru yn bwriadu cyhoeddi barn archwilio ddiamod ar y cyfrifon, a fyddai'n cael ei chyhoeddi ar ôl i'r Llythyr Sylwadau ddod i law. Roedd y Pwyllgor hefyd yn falch o nodi nad oedd unrhyw gamddatganiadau wedi'u nodi yn y datganiadau ariannol a oedd yn dal heb eu cywiro.

PENDERFYNWYD YN UNFRYDOL dderbyn adroddiad Archwilio Cymru ar yr Archwiliad o Gyfrifon Cyngor Sir Caerfyrddin ar gyfer 2021/22.

3.2. LLYTHYR CYNRYCHOLAETH I ARCHWILIO CYMRU - CYNGOR SIR GAR

Bu'r Pwyllgor yn ystyried y Llythyr Sylwadau i Archwilio Cymru a oedd wedi'i baratoi gan Gyfarwyddwr y Gwasanaethau Corfforaethol a Chadeirydd y Pwyllgor Llywodraethu ac Archwilio, yn unol â gofynion y Datganiad ar Safonau Archwilio (SAS440 - Sylwadau Rheolwyr).

Roedd angen cydnabyddiaeth ffurfiol y Pwyllgor o ymateb Cyfarwyddwr y Gwasanaethau Corfforaethol a Chadeirydd y Pwyllgor Llywodraethu ac Archwilio ar Archwilio Cymru hefyd.

Yng ngoleuni'r canllawiau CIPFA diwygiedig yn ymwneud â'r newidiadau i brisio Asedau Seilwaith, a'r ffaith bod angen y diystyriad statudol i ddatrys y mater, cynigiwyd bod awdurdod dirprwyedig yn cael ei roi i Gyfarwyddwr y Gwasanaethau Corfforaethol a Chadeirydd y Pwyllgor Llywodraethu ac Archwilio ddiwygio'r Llythyr Sylwadau, os yw'n briodol.

PENDERFYNWYD YN UNFRYDOL:

3.2.1 Cydnabod yn ffurfiol y Llythyr Sylwadau gan Gyfarwyddwr y Gwasanaethau Corfforaethol a Chadeirydd y Pwyllgor Llywodraethu ac Archwilio i Archwilio Cymru (fel y'i drafftwyd ar hyn o bryd).

3.2.3 Rhoi awdurdod dirprwyedig i Gyfarwyddwr y Gwasanaethau Corfforaethol a Chadeirydd y Pwyllgor Llywodraethu ac Archwilio ar gyfer unrhyw ddiwygiadau dilynol y mae angen eu gwneud i'r Llythyr Sylwadau ar ôl i'r mater cenedlaethol ynghylch ymdrin ag Asedau Seilwaith gael ei ddatrys.

3.3. YMHOLIADAU ARCHWILIO AR GYFER Y RHEINY SY'N GYFRIFOL AM LYWODRAETHU A RHEOLAETH

Cafodd y Pwyllgor ymatebion yr Awdurdod i Archwilio Cymru ar nifer o feysydd llywodraethu a effeithiodd ar yr archwiliad o'r datganiadau ariannol. Roedd yr ystyriaethau hynny yn berthnasol i reolwyr y Cyngor a'r 'rheiny sy'n gyfrifol am lywodraethu', sef y Pwyllgor Llywodraethu ac Archwilio. Roedd y wybodaeth a ddarparwyd yn cyfrannu at ddealltwriaeth Archwilio Cymru o'r Cyngor a'i

brosesau busnes er mwyn cynorthwyo Archwilio Cymru i roi barn archwilio ar ddatganiadau ariannol 2021-22.

Cadarnhaodd Pennaeth y Gwasanaethau Ariannol i'r aelodau y byddai unrhyw wallau teipio yn y ddogfen yn cael eu cywiro, gan gynnwys diwygio dyddiadau lle bo hynny'n briodol a darparu cyfeiriadau cyfredol at deitlau / enwau.

PENDERFYNWYD YN UNFRYDOL gymeradwyo'r ymatebion i'r ceisiadau a wnaed i'r rheolwyr a'r Pwyllgor Llywodraethu ac Archwilio, fel y nodir yn yr adroddiad, ac yn amodol ar y cywiriadau teipio y cytunwyd arnynt yn y cyfarfod.

3.4. DATGANIAD CYFRIFON CYNGOR SIR GAR 2021-22

Bu'r Pwyllgor yn ystyried Datganiad Cyfrifon 2021/22 ar gyfer Cyngor Sir Caerfyrddin, a oedd wedi'i baratoi yn unol â Rheoliadau Cyfrifon ac Archwilio (Cymru) 2014 (fel y'u diwygiwyd yn 2018). Dywedwyd bod Llywodraeth Cymru, o ganlyniad i effaith barhaus Covid-19, wedi cyhoeddi canllawiau a oedd yn caniatáu hyblygrwydd ar gyfer cwblhau datganiadau ariannol 2021/22; yn unol â hynny, y dyddiad cau statudol ar gyfer cwblhau cyfrifon 2021/22 wedi'u harchwilio oedd 30 Tachwedd 2022.

Cyfeiriwyd at yr adolygiad cenedlaethol parhaus o'r modd yr ymdrinnir â chyfrifon a'r datgeliadau sydd eu hangen ar gyfer Asedau Seilwaith. Yn niffyg unrhyw ddatrysiad buan, dywedwyd wrth y Pwyllgor bod Llywodraeth Cymru yn ceisio cyflwyno diystyriad statudol o'r cod, ond ni ellid ardystio'r cyfrifon nes bod y diystyriad statudol ar waith. Yn unol â hynny, er mwyn i Ddatganiad Cyfrifon 2021/22 gael ei gwblhau'n effeithiol cyn gynted ag y bo'n ymarferol ar ôl iddo gael ei ardystio gan yr Archwilydd Cyffredinol, gofynnwyd am i'r Pwyllgor gymeradwyo roi awdurdod dirprwyedig i Gyfarwyddwr y Gwasanaethau Corfforaethol a Chadeirydd y Pwyllgor Llywodraethu ac Archwilio ar gyfer unrhyw ddiwygiadau dilynol y byddai angen eu gwneud mewn perthynas ag ymdrin ag Asedau Seilwaith. Rhoddwyd sicrwydd y byddai'r datganiad cyfrifon terfynol yn cael ei ddosbarthu i Aelodau'r Pwyllgor a byddai adroddiad ar y sefyllfa derfynol yn cael ei gyflwyno i'r Pwyllgor ar ôl i'r mater gael ei ddatrys.

Rhoddwyd trosolwg i'r Pwyllgor o'r pwyntiau amlwg yn y Datganiad Cyfrifon a oedd yn crynhoi sefyllfa ariannol yr Awdurdod ar gyfer y flwyddyn a ddaeth i ben ar 31 Mawrth 2022, ac a oedd yn cynnwys y diwygiadau y cytunwyd arnynt gydag Archwilio Cymru fel rhan o'i archwiliad.

Cyfeiriwyd at Gronfa'r Cyngor, a'r newidiadau i'r balansau yn y cronfeydd wrth gefn cyffredinol neu'r cronfeydd wrth gefn wedi'u clustnodi ar gyfer y flwyddyn ac, yn yr un modd, roedd y newid wedi'i wneud i falans y Cyfrif Refeniw Tai.

Nododd Cyfarwyddwr y Gwasanaethau Corfforaethol y symudiadau a wnaed o'r cronfeydd wrth gefn wedi'u clustnodi, ac iddynt, mewn perthynas â throsglwyddiadau a oedd yn ymwneud â Chronfeydd Wrth Gefn y Gronfa Datblygiadau Mawr, y Rhaglen Moderneiddio Addysg, Cyllid Cyfalaf a'r Fargen Ddinesig/Pentre Awel. Yn unol â hynny, gofynnwyd i'r Pwyllgor gymeradwyo'r symudiadau hynny yn ôl-weithredol a chymeradwyo creu Cronfeydd Wrth Gefn o ran Eisteddfod Genedlaethol yr Urdd, Hwb Caerfyrddin, Strategaeth Wastraff,

Datgarboneiddio, Arian Cyfatebol Ffyniant Bro, Risgiau Chwyddiant, Grant Cynnal Refeniw, Cynllun Disgresiynol Costau Byw, Targedu Buddsoddiad mewn Adfywio ac Adnewyddu Ystafelloedd Cartrefi Preswyl.

Diolchodd Cyfarwyddwr y Gwasanaethau Corfforaethol i Bennaeth y Gwasanaethau Ariannol a'i dîm am eu gwaith rhagorol i baratoi'r Datganiad Cyfrifon.

Rhoddwyd sylw i'r materion/sylwadau a godwyd gan y Pwyllgor, fel a ganlyn:

Tynnwyd sylw'r Pwyllgor at y dyledwyr a'r credydwyr tymor byr a nodwyd yn adrannau 6.16 a 6.19 o'r adroddiad yn y drefn honno. Mewn ymateb i gais, cytunodd swyddogion i ddsbarthu dadansoddiad o'r categori 'arall' yn y categori dyledwyr tymor byr i'r Pwyllgor, a fyddai'n seiliedig ar lefel trothwy o dros £500k.

Cyfeiriwyd at argymhellion y Datganiad Llywodraethu Blynyddol gan nodi bod yr ymatebion yn yr adran statws yn ymddangos yn niwlog ac nad oedd o reidrwydd yn adlewyrchu'r sefyllfa bresennol. Rhoddodd y Pennaeth Refeniw a Chydymffurfiaeth Ariannol sicrwydd y byddai'r ddogfen yn cael ei hadolygu er mwyn darparu naratif mwy cadarn yn y dyfodol.

PENDERFYNWYD YN UNFRYDOL:

3.4.1 Cymeradwyo Datganiad Cyfrifon 2021/22, fel y'i cyflwynir ar hyn o bryd, ar gyfer Cyngor Sir Caerfyrddin. Hefyd, rhoi awdurdod dirprwyedig i Gyfarwyddwr y Gwasanaethau Corfforaethol a Chadeirydd y Pwyllgor Llywodraethu ac Archwilio ar gyfer unrhyw ddiwygiadau dilynol sydd i'w gwneud o ganlyniad i'r mater cenedlaethol sydd heb ei ddatrys ynghylch ymdrin ag Asedau Seilwaith (yn ogystal â chynnwys y Dystysgrif Archwilio a chymeradwyaeth derfynol Cyfarwyddwr y Gwasanaethau Corfforaethol a Chadeirydd y Pwyllgor o'r Datganiad Cyfrifon wedi'i Archwilio).

3.4.2 Cymeradwyo'n ôl-weithredol y symudiadau o'r Cronfeydd Wrth Gefn wedi'u Clustnodi ac iddynt. Yn enwedig, y trosglwyddiadau i:

- **Y Gronfa Datblygiadau Mawr**
- **Cyllid cyfalaf y Rhaglen Moderneiddio Addysg**
- **Y Fargen Ddinesig/Pentre Awel**

3.4.3 Cymeradwyo'n ôl-weithredol greu'r cronfeydd wrth gefn canlynol:

- **Eisteddfod Genedlaethol yr Urdd**
- **Hwb Caerfyrddin**
- **Strategaeth Wastraff**

- **Datgarboneiddio**
- **Arian Cyfatebol Ffyniant Bro**
- **Risgiau chwyddiant**
- **Grant Cynnal Refeniw**
- **Cynllun Disgresiynol Costau Byw**
- **Targeddu Buddsoddiad mewn Adfywio**
- **Adnewyddu Ystafelloedd Cartrefi Preswyl**

4. DATGANIAD ARIANNOL AWDURDOD HARBWR PORTH TYWYN 2021-22.

Yn unol â Rheoliadau Cyfrifon ac Archwilio (Cymru) 2014, a'r pwerau dirprwyedig a ymgorfforir yn y Mesur Llywodraeth Leol, bu'r Pwyllgor yn ystyried cyfrifon 2021-22 yr Awdurdod Harbwr wedi'u harchwilio.

Mae ystod o bwerau a dyletswyddau statudol gan Gyngor Sir Caerfyrddin er mwyn gwella, cynnal a rheoli harbwr Porth Tywyn, a hynny drwy Orchymyn Adolygu Harbwr Porth Tywyn 2000.

Roedd yr adroddiad yn cyfeirio at Ddeddf Harbyrau 1964, a oedd yn nodi ei bod yn ofynnol i Awdurdodau Harbwr lunio datganiad cyfrifon blynyddol ynghylch gweithgareddau'r harbwr. Yn unol â Rheoliadau Cyfrifon ac Archwilio (Cymru) 2014, cyflwynwyd y cyfrifon ar ffurf cyfrif incwm a gwariant blynyddol ar wahân a datganiad balansau.

Rhodddwyd gwybod i'r Pwyllgor fod yr Awdurdod wedi rhoi prydles hirdymor i The Marine & Property Group Ltd ym mis Ebrill 2018, a oedd wedi cymryd cyfrifoldeb dros gynnal a rheoli Harbwr Porth Tywyn; o ganlyniad, roedd llawer llai o weithgaredd ar y datganiad.

Dywedwyd bod cost net gweithgareddau'r harbwr yn 2021-22 yn £687k ac mai Cyngor Sir Caerfyrddin oedd wedi cyllido'r holl weithgareddau'n llawn. Roedd yr asedau sefydlog a ddelir ar 31 Mawrth 2022 yn dod i gyfanswm o £900k. Roedd yr adroddiad yn nodi bod y gostyngiad o £116k yn y costau o flwyddyn i flwyddyn oherwydd bod y gwariant gwaith cyfalaf £69k yn llai, ynghyd â chynnydd o £47k mewn incwm.

PENDERFYNWYD YN UNFRYDOL gymeradwyo Datganiad Cyfrifon Awdurdod Harbwr Porth Tywyn wedi'i archwilio ar gyfer 2021-22.

5. DATGAN CYFRIFON CRONFA BENSIWN DYFED:

[SYLWER: Roedd y Cynghorydd K. Davies, y Cynghorydd L. Davies, y Cynghorydd D. Nicholas, Mr M. MacDonald, y Cynghorydd P. T. Warlow a'r Cynghorydd D.E. Williams wedi datgan buddiant yn eitemau 5.1 – 5.4 ar yr agenda yn gynharach]

5.1. ADRODDIAD DATGANIADAU ARIANNOL - Y CRONFA BENSIWN DYFED

Cafodd y Pwyllgor adroddiad Archwilio Cymru ar yr archwiliad o Gyfrifon Cronfa Bensiwn Dyfed i'w ystyried. Roedd yr adroddiad yn ystyried a oedd y datganiad ariannol yn rhoi golwg gywir a theg ar sefyllfa ariannol Cronfa Bensiwn Dyfed ar 31 Mawrth 2022 a'r incwm a'r gwariant yn ystod y flwyddyn honno.

Rhoddodd Mr J Blewitt, Cynrychiolydd Archwilio Cymru, grynodedb o effaith pandemig COVID-19 ar archwilio cyfrifon fel y nodir yn Arddangosyn 1 yr adroddiad archwilio.

Tynnodd Mr J Blewitt, Cynrychiolydd Archwilio Cymru, sylw'r Pwyllgor at baragraff 6 o'r adroddiad gan roi'r wybodaeth ddiweddaraf am y gwaith archwilio rhagorol a oedd wedi ei gwblhau ers dosbarthu'r ddogfen.

Roedd y Pwyllgor yn falch o nodi bod Archwilio Cymru yn bwriadu cyhoeddi barn archwilio ddiamod ar y cyfrifon a fyddai'n cael ei chyhoeddi ar ôl i'r Llythyr Sylwadau ddod i law. Roedd y Pwyllgor hefyd yn falch o nodi nad oedd unrhyw gamddatganiadau wedi'u nodi yn y datganiadau ariannol a oedd yn dal heb eu cywiro.

PENDERFYNWYD YN UNFRYDOL dderbyn adroddiad Archwilio Cymru ar yr Archwiliad o Ddatganiadau Ariannol ar gyfer Cyfrifon Cronfa Bensiwn Dyfed 2021-22.

5.2. LLYTHYR CYNRYCHIOLAETH I ARCHWILIO CYMRU - CRONFA BENSIWN DYFED

Bu'r Pwyllgor yn ystyried y Llythyr Sylwadau i Archwilio Cymru a oedd wedi'i baratoi gan Gyfarwyddwr y Gwasanaethau Corfforaethol a Chadeirydd y Pwyllgor Llywodraethu ac Archwilio, yn unol â gofynion y Datganiad ar Safonau Archwilio (SAS440 - Sylwadau Rheolwyr).

Roedd angen cydnabyddiaeth ffurfiol y Pwyllgor o ymateb Cyfarwyddwr y Gwasanaethau Corfforaethol a Chadeirydd y Pwyllgor Llywodraethu ac Archwilio ar Archwilio Cymru hefyd.

PENDERFYNWYD YN UNFRYDOL fod y Llythyr Sylwadau i Archwilio Cymru gan Gyfarwyddwr y Gwasanaethau Corfforaethol a Chadeirydd y Pwyllgor Llywodraethu ac Archwilio mewn perthynas â Chronfa Bensiwn Dyfed yn cael ei gydnabod.

5.3. YMHOLIADAU ARCHWILIO AR GYFER Y RHEINY SYDD YN GYFRIFOL AM LYWODRAETHU A RHEOLAETH

Cafodd y Pwyllgor ymatebion yr Awdurdod i Archwilio Cymru ar nifer o feysydd llywodraethu a effeithiodd ar yr archwiliad o ddatganiadau ariannol y Gronfa Bensiwn. Roedd yr ystyriaethau hynny yn berthnasol i reolwyr Cronfa Bensiwn Dyfed a'r 'rheiny sy'n gyfrifol am lywodraethu', sef y Pwyllgor Llywodraethu ac Archwilio. Roedd y wybodaeth a ddarparwyd yn cyfrannu at ddealltwriaeth

Archwilio Cymru o Gronfa Bensiwn Dyfed a'i phrosesau busnes i'w gynorthwyo i roi barn archwilio ar ddatganiadau ariannol 2021-22.

Cadarnhaodd Pennaeth y Gwasanaethau Ariannol i'r aelodau y byddai unrhyw wallau teipio yn y ddogfen yn cael eu cywiro, gan gynnwys diwygio dyddiadau lle bo hynny'n briodol a darparu cyfeiriadau cyfredol at deitlau / enwau.

PENDERFYNWYD YN UNFRYDOL gymeradwyo'r ymatebion i'r ceisiadau a wnaed i'r rheolwyr a'r Pwyllgor Llywodraethu ac Archwilio, fel y nodir yn yr adroddiad, ac yn amodol ar y cywiriadau teipio y cytunwyd arnynt yn y cyfarfod.

5.4. ADRODDIAD A CHYFRIFON BLYNYDDOL CRONFA BENSIWN DYFED 2021-22

Yn unol â darpariaethau Rheoliadau Cyfrifon ac Archwilio (Cymru) 2014, cafodd Adroddiad Blynyddol a Datganiad Cyfrifon 2021-22 wedi'i archwilio, a oedd yn ymwneud â Chronfa Bensiwn Dyfed, eu rhoi gerbron y Pwyllgor i'w cymeradwyo. Roedd yr adroddiad blynyddol yn darparu gwybodaeth am sefyllfa ariannol, perfformiad a hyblygrwydd ariannol y Gronfa am y flwyddyn 2021-22.

Diolchodd Cyfarwyddwr y Gwasanaethau Corfforaethol i Reolwr y Trysorlys a Buddsoddiadau Pensiynau a'i dîm am eu gwaith rhagorol i gydlynu Adroddiad Blynyddol a Datganiad Cyfrifon y Gronfa.

Rhodddwyd sylw i'r materion/sylwadau a godwyd gan y Pwyllgor, fel a ganlyn:

Wrth gydnabod bod 2021-22 wedi bod yn flwyddyn heriol a chythryblus, dywedodd yr Aelodau mai braf oedd nodi bod y Gronfa, er gwaethaf hyn, wedi sicrhau adenillion llwyddiannus. Yn hyn o beth, cyfeiriodd y Cadeirydd at y sefyllfa actiwaraidd gadarn, y barnwyd ei bod yn adlewyrchiad cadarnhaol o ddiwylliant y sefydliad a'i ddull darbodus.

Codwyd pryderon nad oedd y Gronfa wedi derbyn datganiad cyfrifon gan 'Prudential' ar gyfer naill ai 2020-21 neu 2021-22. Eglurodd Rheolwr y Trysorlys a Buddsoddiadau Pensiynau fod hwn yn fater cenedlaethol a bod trafodaethau â'r Cynllun Pensiwn Llywodraeth Leol yn parhau. Rhodddwyd sicrwydd y byddai aelodau'r Pwyllgor yn cael gwybod cyn gynted â bod diweddariad ar y mater hwn ar gael.

PENDERFYNWYD YN UNFRYDOL gymeradwyo Adroddiad Blynyddol a Chyfrifon Cronfa Bensiwn Dyfed 2021-22.

6. ADOLYGIAD DILYNOL: GWASANAETHAU CYNLLUNIO - CYNGOR SIR CAERFYRDDIN

Bu'r Pwyllgor yn ystyried adroddiad dilynol a gyhoeddwyd gan Archwilio Cymru mewn perthynas â Gwasanaethau Cynllunio y Cyngor. Roedd yr adroddiad yn nodi bod cynnydd da wedi'i wneud mewn perthynas â'r argymhellion a chamau y cytunwyd arnynt a oedd yn deillio o adolygiad cychwynnol Archwilio Cymru a gynhaliwyd ym mis Gorffennaf 2021.

Cydnabu'r Pwyllgor ganfyddiadau cadarnhaol yr adolygiad dilynol a gadarnhaodd fod y Cyngor wedi llwyddo i fynd i'r afael â'r argymhellion hynny i sicrhau gwelliannau sylweddol yn y gwasanaethau cynllunio. Hefyd, roedd y Pwyllgor yn falch o nodi y rhagorwyd ar y safonau perfformiad Cynllunio blynyddol PAM/018 a PAM/019 a bennwyd gan Lywodraeth Cymru, am y tro cyntaf yn 2021/22.

Roedd Archwilio Cymru wedi canmol y Cyngor am y camau cyflym ac adeiladol a gymerwyd i fynd i'r afael â'r argymhellion a oedd yn deillio o'r adolygiad cychwynnol a gynhaliwyd ym mis Gorffennaf 2021. Yn ei dro, mynegodd y Pennaeth Lle a Chynaliadwyedd ei ddiolch am y gefnogaeth a roddwyd i'r is-adran Gynllunio gan bwysleisio ymroddiad swyddogion a oedd wedi gwneud ymdrechion rhagorol yn ystod cyfnod o drawsnewid sylweddol.

Rhodddwyd sylw i'r materion/sylwadau a godwyd gan y Pwyllgor, fel a ganlyn:

Yn sgil y sicrwydd a roddwyd i'r Pwyllgor o ganlyniad i'r adroddiad cadarnhaol, ynghyd â'r gwaith monitro parhaus a fyddai'n cael ei wneud gan Archwilio Cymru, cynigiwyd y gellid dileu'r adolygiad o wasanaethau cynllunio oddi ar Flaengynllun Gwaith y Pwyllgor ar gyfer 2022/23.

Dywedodd aelod fod y ffordd yr aeth y Cyngor ati i fynd i'r afael â'r materion a nodwyd gan adolygiad cychwynnol Archwilio Cymru yn darparu astudiaeth achos enghreifftiol o arfer gorau y gellid ei rhannu er budd Awdurdodau eraill.

PENDERFYNWYD YN UNFRYDOL nodi'r adolygiad dilynol a gynhaliwyd gan Archwilio Cymru ar y cynnydd a wnaed gan Gyngor Sir Caerfyrddin mewn ymateb i adroddiad Archwilio Cymru ym mis Gorffennaf 2021, sef Adolygiad o'r Gwasanaethau Cynllunio.

7. Y DIWEDDARAF YNGHYLCH Y CYNLLUN ARCHWILIO MEWNOL 2022/23

Bu'r Pwyllgor yn ystyried adroddiad a oedd yn rhoi'r wybodaeth ddiweddaraf am y cynnydd a oedd yn cael ei wneud o ran gweithredu Cynllun Archwilio Mewnol 2022/23. Adolygodd y Pwyllgor y cynnydd a oedd yn cael ei wneud o ran gweithredu'r rhaglen archwilio a oedd yn dangos cyfradd gwblhau o 33% hyd yn hyn.

Yna tynnwyd sylw'r Pwyllgor at yr adolygiad wedi'i gwblhau o systemau ariannol allweddol yr Awdurdod mewn perthynas â'r Gyflogres Pensiynau. Roedd yr adroddiad yn nodi cwmpas yr adolygiad, y materion a nodwyd, a'r argymhellion a wnaed. Cydnabu'r Pwyllgor ganlyniad cadarnhaol yr adolygiad a oedd yn rhoi sicrwydd bod system y Gyflogres Pensiynau yn cael ei hystyried yn gadarn ac yn foddhaol.

Rhodddwyd sylw i'r materion/sylwadau a godwyd gan y Pwyllgor, fel a ganlyn:

Cafwyd ymholiad mewn perthynas â'r pedwar diwrnod ychwanegol a gymerwyd i gwblhau'r archwiliad o Gronfa Degwm Dyfed. Rhodddwyd gwybod i'r Pwyllgor fod nifer y diwrnodau archwilio a neilltuwyd i ddechrau yn ddangosol yn unig a darparwyd sicrwydd nad oedd pryderon ynghylch yr archwiliad o Gronfa Degwm Dyfed.

PENDERFYNWYD YN UNFRYDOL dderbyn y Wybodaeth Ddiweddaraf am Gynllun Archwilio Mewnol 2022/23 a'r rhannau o'r adroddiad.

8. ADRODDIAD BLYNYDDOL DRAFFT CYNGOR SIR CAERFYRDDIN AR GYFER 2021/22

Bu'r Pwyllgor yn ystyried adroddiad blynyddol drafft y Cyngor ar gyfer y cyfnod 2021/22 a oedd wedi ei lunio i fodloni'r darpariaethau perthnasol yn Neddf Llesiant Cenedlaethau'r Dyfodol (Cymru) 2015 a Deddf Llywodraeth Leol ac Etholiadau (Cymru) 2021. Roedd yr adroddiad yn nodi'r cynnydd a wnaed o ran 13 Amcan Llesiant y Cyngor yn erbyn cefndir o amgylchiadau digynsail yn sgil pandemig Covid-19, ynghyd â hunanasesiad y Cyngor yn erbyn gofynion perfformiad y flwyddyn ariannol flaenorol.

Rhodddwyd sylw i'r materion/sylwadau a godwyd gan y Pwyllgor, fel a ganlyn:

Cydnabuwyd mai hon oedd y flwyddyn gyntaf o gyflwyno adroddiadau o dan y fframwaith deddfwriaethol diwygiedig a ddarparwyd gan Ddeddf Llywodraeth Leol ac Etholiadau (Cymru) 2021 ac felly gofynnwyd am eglurder ynghylch rôl y Pwyllgor o ran cyflawni ei rwymedigaethau deddfwriaethol i adolygu'r Adroddiad Blynyddol. Yn unol â hynny, cytunodd y Rheolwr Polisi Corfforaethol, Perfformiad a Phartneriaeth i adolygu'r dulliau a oedd yn cael eu defnyddio gan Awdurdodau eraill, a byddai cyngor hefyd yn cael ei geisio oddi wrth Gymdeithas Llywodraeth Leol Cymru yn hyn o beth. Awgrymwyd hefyd bod sesiwn datblygu yn cael ei gynnwys ym Mlaenraglen Waith y Pwyllgor i alluogi'r Pwyllgor i roi sylw priodol ac ychwanegu gwerth at y broses o ddatblygu'r Adroddiad Blynyddol.

PENDERFYNWYD YN UNFRYDOL fod Adroddiad Blynyddol Drafft y Cyngor ar gyfer y cyfnod 2021/22 yn cael ei dderbyn.

9. BLAENRHAGLEN GWAITH Y PWYLLGOR LLYWODRAETHU AC ARCHWILIO

Bu'r Pwyllgor yn ystyried y Flaenraglen Waith ar gyfer cylch cyfarfodydd y Pwyllgor Llywodraethu ac Archwilio 2022/23, a oedd yn nodi'r eitemau i'w cyflwyno i'r Pwyllgor yn y cyfarfodydd oedd wedi'u trefnu ar gyfer y flwyddyn i ddod, yn ogystal â rhaglen sesiynau datblygu er mwyn rhoi'r sgiliau angenrheidiol i Aelodau gyflawni eu rôl yn effeithiol ar y Pwyllgor.

Rhodddwyd sylw i'r materion/sylwadau a godwyd gan y Pwyllgor, fel a ganlyn:

Yn sgil y canlyniadau cadarnhaol a oedd yn deillio o adroddiad dilynol Archwilio Cymru a ystyriwyd fel rhan o eitem 6 ar yr agenda, gofynnodd y Pwyllgor fod yr adolygiad o wasanaethau cynllunio yn cael ei ddileu oddi ar Flaengynllun Gwaith y Pwyllgor ar gyfer 2022/23.

Bod gweithdy yn cael ei gynnwys ym Mlaenraglen Waith y Pwyllgor i alluogi'r Pwyllgor i gyfrannu at y broses o ddatblygu Adroddiad Blynyddol y Cyngor.

Dywedwyd y byddai'r sesiwn datblygu ar ymarfer Hunanasesu'r Pwyllgor Llywodraethu ac Archwilio yn cael ei drefnu ar gyfer Rhagfyr 2022.

Codwyd pryderon gan rai aelodau ynghylch gallu'r Pwyllgor i ychwanegu gwerth at y meysydd yn ei faes gorchwyl oherwydd hyd agendâu'r Pwyllgor, a waethygydd ymhellach gan yr amserlen ar gyfer cyhoeddi'r agendâu, a oedd yn darparu cyfnod cyfyngedig i adolygu'r adroddiadau. Er y cydnabuwyd bod y Blaengynllun Gwaith yn nodi amserlen y Pwyllgor ar gyfer pob cyfarfod, cytunwyd i ymgynghori â'r aelodau ynghylch yr agenda ddrafft ar gyfer pob cyfarfod er mwyn eu galluogi i gyfrannu at reolaeth yr agenda. Awgrymwyd hefyd fod swyddogion yn ystyried y posibilrwydd o gyhoeddi adroddiadau fesul cam, gan roi digon o amser i aelodau ystyried eu cynnwys.

PENDERFYNWYD YN UNFRYDOL dderbyn Blaenraglen Waith 2022/23.

10. COFNODION GRWPIAU PERTHNSAOL I'R PWYLLGOR LLYWODRAETHU AC ARCHWILIO:

10.1. PANEL GRANTIAU

PENDERFYNWYD YN UNFRYDOL dderbyn cofnodion cyfarfod y Panel Grantiau a gynhaliwyd ar 26 Gorffennaf 2022.

CADEIRYDD

DYDDIAD

Mae'r dudalen hon yn wag yn fwriadol