

DYDD GWENER, 10 MAWRTH 2023

**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 Y  
**SIAMBR, NEUADD Y SIR, CAERFYRDDIN AC O BELL AM 10.00 YB**  
**DYDD GWENER, 17EG MAWRTH, 2023** ER MWYN CYFLAWNI'R  
MATERION A AMLINELLIR AR YR AGENDA SYDD YNGHLWM

*Wendy Walters*

**PRIF WEITHREDWR**

Swyddog Democrataidd:	Martin S. Davies
Ffôn (llinell uniongyrchol):	01267 224059
E-Bost:	MSDavies@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:- <a href="https://carmarthenshire.public-i.tv/core/portal/home">https://carmarthenshire.public-i.tv/core/portal/home</a>	

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.
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NI DDYLID CYHOEDDI'R ADRODDIADAU SY'N YMWNEUD Â'R MATERION CANLYNOL GAN EI FOD YN CYNNWYS GWYBODAETH EITHRIEDIG FEL Y'I DIFFINIWYD YM MHARAGRAFF 14 O RAN 4 O ATODLEN 12A I DDEDDF LLYWODRAETH LEOL 1972 FEL Y'I DIWYGIWYD GAN ORCHYMYN LLYWODRAETH LEOL (MYNEDIAD AT WYBODAETH) (AMRYWIO) (CYMRU) 2007. OS BYDD Y PWYLLGOR AR ÔL CYNNAL PRAWF LLES Y CYHOEDD YN PENDERFYNU YN UNOL Â'R DDEDDF, I YSTYRIED Y MATER HYN YN BREIFAT,

GORCHMYNNIR I'R CYHOEDD ADAEL Y CYFARFOD YN YSTOD  
TRAFODAETH O'R FATH.

**13. ARCHWILIO CYMRU: GWERSI O YMOSODIADAU SEIBR  
(HYDREF 2022).**

223 - 256

## Pwyllgor Llywodraethu ac Archwilio 17 Mawrth 2023

### DIWEDDARIAD RHAGLEN WAITH ARCHWILIO CYMRU

**Y Pwrpas:** I nodi Diweddariad Rhaglen Waith Archwilio Cymru ac Amserlen hyd at Rhagfyr 2022.

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

Nodi Diweddariad Rhaglen Waith Archwilio Cymru ac Amserlen hyd at Rhagfyr 2022.

#### **Y rheswm/rhesymau dros yr argymhelliad:**

Mae gan y Cyngor ddyletswydd i ystyried canfyddiadau adroddiadau rheoleiddio, argymhellion a chynigion i'w gwella.

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 Philip Hughes

**Y Gyfarwyddiaeth:**  
Archwilio Cymru

**Awdur yr Adroddiad:**  
Archwilio Cymru

## **Governance & Audit Committee**

**17 March 2023**

### **Audit Wales –Work Programme Update**

#### **BRIEF SUMMARY OF PURPOSE OF REPORT.**

The quarterly update on Audit Wales Work Programme and Timetable up to December 2022 gives an overview of progress with audit work relevant to Carmarthenshire County Council.

**DETAILED REPORT ATTACHED?**

**YES**

### **IMPLICATIONS**

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

## Audit Wales Work Programme and Timetable – Carmarthenshire County Council

**Quarterly Update: 31 December 2022**

### Annual Audit Summary

Description	Timetable	Status
A report summarising completed audit work since the last Annual Audit Summary, which was issued in January 2022.	January 2022	<u>Report</u> issued

### Financial Audit work

Description	Scope	Timetable	Status
<b>Audit of the Council's 2021-22 statement of accounts</b>	To confirm whether the statement of accounts provides a true and fair view.	January 2022 to January 2023	Audit complete. Statement of Accounts signed by the Auditor General on 12 December 2022
<b>Audit of the Pension Council's 2021-22 statement of accounts</b>	To confirm whether the statement of accounts provides a true and fair view.	January 2022 to November 2022	Audit complete. Statement of Accounts signed by the Auditor

Description	Scope	Timetable	Status
			General on 1 November 2022
<b>Audit of the 2021-22 Return for Burry Port Harbour</b>	To confirm that the return has been completed correctly.	January 2022 to January 2023	Audit complete. Audited return signed 1 November 2022.
<b>Audit of the 2021-22 Return for Wales Pension Partnership</b>	To confirm that the return has been completed correctly.	January 2022 to July 2022	Audit complete. Audited return signed 29 July 2022.
<b>Audit of the Swansea Bay City Deal 2021-22 statement of accounts</b>	To confirm whether the statement of accounts provides a true and fair view.	January 2022 to July 2022	Audit complete. Statement of Accounts signed by the Auditor General on 29 July 2022.
<b>2021-22 Grant Claim Audit Work</b>	Audit of claims as required by the terms and conditions of the grants.	In line with the individual deadlines for each grant claim.	Audit work ongoing.



## Performance Audit work

2021-22 Performance Audit Work	Scope	Timetable	Status
<b>Well-being of Future Generations Act (Wales) 2015 (WFG Act) examinations</b>	We will seek to integrate the delivery of our WFG examinations of steps to deliver well-being objectives with our other audit work. We will discuss this with the Council as we scope and deliver the audit projects listed in this plan.	N/A	N/A
<b>Improvement reporting audit</b>	Audit of discharge of duty to publish an assessment of performance.	November 2021	Complete

2021-22 Performance Audit Work	Scope	Timetable	Status
<b>Assurance and Risk Assessment</b>	<p>Project to identify the level of audit assurance and/or where further audit work may be required in future years in relation to risks to the Council putting in place proper arrangements to secure value for money in the use of resources.</p> <p>At Carmarthenshire County Council the project is likely to focus on:</p> <ul style="list-style-type: none"> <li>Financial position</li> </ul>	<p>April 2021 – November 2022</p> <p>Draft letter issued December 2022</p>	Complete
	<ul style="list-style-type: none"> <li>Self-assessment arrangements</li> <li>Recovery planning</li> <li>Implications of the Local Government and Elections (Wales) Act</li> </ul>	<p><u>Letter</u> issued August 2022</p>	
	<ul style="list-style-type: none"> <li>Carbon reduction plans</li> </ul>	<p><u>Letter</u> published December 2022</p>	
	<p>We will also follow up on some of the proposals for improvement issued in</p>	<p><u>Report</u> issued to Council in August 2022</p>	

2021-22 Performance Audit Work	Scope	Timetable	Status
	<p>earlier Audit Wales reports:</p> <p>Follow-up Review: Overview and Scrutiny Fit for the Future</p>		
<p><b>Springing Forward – Examining the building blocks for a sustainable future</b></p>	<p>As the world moves forward, learning from the global pandemic, this review looks at how effectively councils are strengthening their ability to transform, adapt and maintain the delivery of services, including those delivered in partnership with key stakeholders and communities.</p>	<p>October 2021 – May 2022</p>	<p>Complete – two reports issued to the Council September 2022 (<a href="#">assets</a> and <a href="#">workforce</a>).</p>

2022-23 Performance audit work	Scope	Timetable	Status
<b>Assurance and Risk Assessment</b>	<p>Project to identify the level of audit assurance and/or where further audit work may be required in future years in relation to risks to the Council putting in place proper arrangements to secure value for money in the use of resources and acting in accordance with the sustainable development principle. The project is likely to focus in particular on:</p> <ul style="list-style-type: none"> <li>• Financial position</li> <li>• Capital programme management</li> <li>• Use of performance information – with a focus on service user feedback and outcomes</li> <li>• Setting of well-being objectives</li> </ul>	April 2022 – September 2023	Ongoing
	<p>We will also follow up on some of the proposals for improvement issued in earlier Audit Wales reports:</p> <ul style="list-style-type: none"> <li>• Follow-up review – Planning Services</li> </ul>	<p><u>Report</u> issued to Council in October 2022</p>	Complete

<b>2022-23 Performance audit work</b>	<b>Scope</b>	<b>Timetable</b>	<b>Status</b>
<b>Thematic Review – Unscheduled Care</b>	A cross-sector review focusing on the flow of patients out of hospital. This review will consider how the Council is working with its partners to address the risks associated with the provision of social care to support hospital discharge, as well as prevent hospital admission. The work will also consider what steps are being taken to provide medium to longer-term solutions.	August 2022 – February 2023	Fieldwork
<b>Thematic review – Digital</b>	This project is being scoped with further details of the specific focus of the review to be confirmed.	To be confirmed	Scoping

## Local government national studies planned/in progress

Study	Scope	Timetable	Status	Fieldwork planned at Carmarthenshire County Council
<b>Building Social Resilience and Self reliance</b>	Review of how local authorities can build greater resilience in communities	Autumn 2021 – Autumn 2022	Clearance – publish January 2023	Yes – interview with nominated officer at the Council.
<b>Building safety</b>	Review of how well local authorities are delivering their responsibilities for building safety	September 2022 – August 2023	Evidence Gathering – fieldwork planned for January – March 2023	Yes – interview with nominated officer at the Council and survey.
<b>Planning for sustainable development – Brownfield regeneration</b>	Review of how local authorities are promoting and enabling better use of vacant non-domestic dwellings and brownfield sites	October 2022 – September 2023	Evidence gathering – fieldwork being set up for January – March 2023	Yes – interview with nominated officer at the Council and survey.
<b>Governance of special purpose authorities – National Parks</b>	Review of systems and effectiveness of governance	November 2022 – September 2023	Planning	No

Study	Scope	Timetable	Status	Fieldwork planned at Carmarthenshire County Council
<b>Corporate Joint Committees</b>	Assessing CJsCs' progress in developing their arrangements to meet their statutory obligations and the Welsh Government's aim of strengthening regional collaboration.	September 2022 – January 2023	Fieldwork complete	Yes – We are exploring the Council's perspective via our routine liaison meetings. Fieldwork includes interviews with the chief executive, director of finance and chair of each of the four CJsCs.

## Estyn

Estyn planned work 2022-23	Scope	Timetable	Status
<b>Local Government Education Services Inspections</b>	Estyn carried out a post-inspection improvement conference in Torfaen in September as part of our follow-up process for an authority causing significant concern. Pembrokeshire was removed from our follow-up category following our monitoring visit in early October. Wrexham local authority is still in a causing concern category, and we convened a progress conference in December to look specifically at the school improvement recommendation. We are proposing to re-visit Wrexham in the summer term. We inspected Blaenau Gwent in December and we will be inspecting RCT in early spring.	RCT inspection week beginning 23 January	N/A
<b>Education Other than at School (EOTAS) thematic review</b>	Field work being carried out in late autumn/early spring term across all local authorities.	Report published on 30 June	N/A



## Care Inspectorate Wales (CIW)

CIW planned work 2022-23	Scope	Timetable	Status
<b>Programme 2022-23</b>	Following our testing phase, we are making the final amendments to our approach and code of practice. This will result in a revised code of practice. We will consult on this early 2023 with implementation from 01 April 2023.	April 2022-March 2023	In progress
<b>Joint work</b>	<p>We continue to work with partners, sharing information and intelligence including completing joint reviews.</p> <p>We currently are working in collaboration with HIW for a national review of the stroke pathway and CMHT inspections.</p>	Current	In progress
<b>Deprivation of Liberty Safeguards Annual Monitoring Report for Health and Social Care 2021-22</b>	Following the publication of the 2020-21 report planning is underway for the next report: publication date to be confirmed.	Publication to be confirmed	Pre-publication
<b>Annual meeting with Statutory Directors of Social Services</b>	CIW will meet with all Directors of Social Services.	December 2022 and January 2023	Delivery

<b>CIW planned work 2022-23</b>	<b>Scope</b>	<b>Timetable</b>	<b>Status</b>
<b>National review of Care Planning for children and young people subject to the Public Law Outline pre- proceedings</b>	<p>Purpose of the review</p> <p>To provide external scrutiny, assurance and to promote improvement regarding the quality of practice in relation to the care planning for children and young people subject to the public law outline pre-proceedings.</p> <p>To consider the extent to which practice has progressed since the publication of both the CIW 'National Review of care planning for children and young people subject to public law outline pre-proceedings' and the publication of the PLO working group report 2021 including best practice guidance.</p>	September 2022 – Spring 2023	Delivery
<b>Joint Inspection Child Protection Arrangements (JICPA)</b>	<p>Cross-inspectorate approach. Areas to be determined. We will complete a further four multi-agency joint inspections.</p> <p>We will publish a national report in late 2023.</p>	Autumn 2022 – Spring 2023	Planning

## Audit Wales national reports and other outputs published since January 2022

Report title	Publication date and link to report
A Picture of Flood Risk Management	<a href="#">December 2022</a>
'A missed opportunity' – Social Enterprises	<a href="#">December 2022</a>
Poverty Data Tool	<a href="#">November 2022</a>
'Time for change' – Poverty in Wales	<a href="#">November 2022</a>
Learning from cyber-attacks	October 2022 (distributed privately to audited bodies)
National Fraud Initiative 2020-21	<a href="#">October 2022</a>
COVID-19 business support in 2020-21 – Memorandum for the Public Accounts and Public Administration Committee	<a href="#">October 2022</a>
Payment to the Welsh Government's Former Permanent Secretary on Termination of Employment	<a href="#">September 2022</a>
Equality Impact Assessments: More than a Tick Box Exercise?	<a href="#">September 2022</a>
Welsh Government – setting of well-being objectives	<a href="#">September 2022</a>

Report title	Publication date and link to report
Welsh Government workforce planning and management	<a href="#"><u>September 2022</u></a>
NHS Wales Finances Data Tool – up to March 2022	<a href="#"><u>August 2022</u></a>
Public Sector Readiness for Net Zero Carbon by 2030: Evidence Report	<a href="#"><u>August 2022</u></a>
Public Sector Readiness for Net Zero Carbon by 2030	<a href="#"><u>July 2022</u></a>
Sustainable Tourism in Wales' National Parks	<a href="#"><u>July 2022</u></a>
Third Sector COVID-19 Response Fund – Memorandum for the Public Accounts and Public Administration Committee	<a href="#"><u>July 2022</u></a>
The Welsh Community Care Information System – update	<a href="#"><u>July 2022</u></a>
Tackling the Planned Care Backlog in Wales – and waiting times data tool	<a href="#"><u>May 2022</u></a>
The new Curriculum for Wales	<a href="#"><u>May 2022</u></a>
Unscheduled care – data tool and commentary	<a href="#"><u>April 2022</u></a>
Direct Payments for Adult Social Care	<a href="#"><u>April 2022</u></a>

Report title	Publication date and link to report
Local Government Financial Sustainability data tool	<a href="#"><u>February 2022</u></a>
Joint Working Between Emergency Services (including data tool)	<a href="#"><u>January 2022</u></a>

## Audit Wales national reports and other outputs (work in progress/planned)<sup>1</sup>

Title	Anticipated publication date
The Welsh Government's purchase of Gilestone Farm – letter to the Public Accounts and Public Administration Committee	January 2023
Quality governance in the NHS	February 2023
Orthopaedic services	February 2023
Digital inclusion	February 2023
NHS workforce planning data briefing	March 2023
Maximising EU funding	May 2023

<sup>1</sup> We will continue to keep our plans under constant review, taking account of the evolving external environment, our audit priorities, the context of our own resourcing and the capacity of audited bodies to engage with us. Since the previous update we have progressed planning work on several new topics although the scope and timetable for some of these pieces of work are still to be confirmed.

Title	Anticipated publication date
Covering teachers' absence – follow-up	July 2023
Affordable housing	To be confirmed
Ukrainian refugee response	To be confirmed
Active travel	To be confirmed
Cancer services	To be confirmed

## Good Practice Exchange events and resources

Title	Link to resource
Tackling poverty in Wales: responding to the challenge – this shared learning event brought people together from across public services to share ideas, learning and knowledge on how organisations can respond to the challenges caused by poverty. We shared examples of approaches being taken by organisations within Wales and across the UK.	<a href="#"><u>Tackling poverty resources</u></a>
Making Equality Impact Assessments more than a tick box exercise: This shared learning event aims to assist public bodies to improve use and application of EIAs beyond an exercise in compliance by bringing people together from across public services to share ideas, learning and knowledge.	<a href="#"><u>Making EIAs more than a tick box exercise: Online event registration</u></a>

Title	Link to resource
'A missed opportunity': Social Enterprises: Following on from our Tackling Poverty in Wales: responding to the challenge event held in October, we will be holding another shared learning event on our themed work looking at social enterprises in the new year. This event will bring people together from across public services to share ideas, learning and knowledge to lessen the challenges caused by poverty.	Further detail will be available on our <a href="#">event page</a> shortly.

## Recent Audit Wales blogs

Title	Publication date
<a href="#">A perfect storm – the cost of living crisis and domestic abuse</a>	21 November 2022
<a href="#">Tackling poverty means tackling poverty data</a>	11 November 2022
<a href="#">Cost of living and putting away the bayonet</a>	21 September 2022
<a href="#">Heat is on to tackle Climate Change</a>	18 August 2022
<a href="#">Direct Payments in Wales</a>	15 June 2022
<a href="#">Unscheduled Care in Wales – a system under real pressure</a>	21 April 2022
<a href="#">Skills Competition Wales</a>	18 February 2022

Title	Publication date
<u>Cyber resilience – one year on</u>	9 February 2022
<u>Helping to tell the story through numbers</u> (Local government financial sustainability data tool)	3 February 2022
<u>Call for clearer information on climate change spending</u>	2 February 2022
<u>Actions speak louder than words</u> (Building social resilience and self-reliance in citizens and communities)	14 January 2022



**Pwyllgor Llywodraethu ac Archwilio**  
**17 Mawrth 2023**

<b>ARCHWILIO CYMRU - CRYNODEB ARCHWILIAD BLYNYDDOL 2022</b>
<b>Yr Argymhellion / Penderfyniadau Allweddol Sydd Eu Hangen:</b> I nodi Crynodeb Archwiliad Blynyddol 2022 Archwilio Cymru.
<b>Y Rhesymau:</b> Mae gan y Cyngor ddyletswydd i ystyried canfyddiadau adroddiadau rheoleiddio, argymhellion a chynigion i'w gwella.
<b>Ymgynghorwyd â'r pwyllgor craffu perthnasol: NADDO</b>
<b>Angen i'r Bwrdd Gweithredol wneud penderfyniad: NAC OES</b> <b>Angen i'r Cyngor wneud penderfyniad: NAC OES</b>
<b>YR AELOD O'R BWRDD GWEITHREDOL SY'N GYFRIFOL AM Y PORTFFOLIO:</b> Cyng. Philip Hughes
<b>Y Gyfarwyddiaeth:</b> Archwilio Cymru  <b>Awdur yr Adroddiad:</b> Archwilio Cymru

**Governance & Audit Committee**  
**17 March 2023**

**Audit Wales Annual Audit Summary 2022**

**BRIEF SUMMARY OF PURPOSE OF REPORT.**

The Audit Wales Annual Audit Summary 2022 provides an outline of the work completed since the last Annual Audit Summary, which was issued in January 2022. The audit summary forms part of the Auditor General for Wales duties.

**DETAILED REPORT ATTACHED?**

**YES**

**IMPLICATIONS**

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

## Cyngor Sir Caerfyrddin

### Crynodeb Archwilio Blynyddol 2022

Dyma ein crynodeb archwilio ar gyfer Cyngor Sir Caerfyrddin. Mae'n dangos y gwaith a gwblhawyd ers y Crynodeb Archwilio Blynyddol diwethaf a gyhoeddwyd ym mis Ionawr 2022. Mae ein crynodeb archwilio'n rhan o ddyletswyddau Archwilydd Cyffredinol Cymru.



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

## Ynglŷn â'r Cyngor

### Rhai o'r gwasanaethau y mae'r Cyngor yn eu darparu



#### Ffeithiau allweddol

Mae gan y Cyngor 75 o gynghorwyr sy'n cynrychioli'r pleidiau gwleidyddol canlynol:

- Plaid Cymru 38
- Llafur Cymru 23
- Annibynnol 11
- Annibynnol Digysylltiad 3

Gwariodd y Cyngor £389 miliwn ar ddarparu gwasanaethau<sup>1</sup> yn ystod 2021-22<sup>2</sup>.

<sup>1</sup> Rydym yn diffinio gwariant ar wasanaethau fel cost gwasanaethau a godir ar y gronfa gyffredinol o'r Dadansoddiad Ariannu Gwariant, namyn costau unrhyw wasanaethau a ariennir o'r Cyfrif Refeniw Tai, gan ychwanegu praeseptau, ardollau a llog ar ddyledion.

<sup>2</sup> Ffynhonnell: Datganiad o Gyfrifon 2021-22

## Ffeithiau allweddol

O ran y sefyllfa ar 31 Mawrth 2022, roedd gan y Cyngor £168 miliwn o gronfeydd ariannol wrth gefn defnyddiadwy<sup>3</sup>. Mae hyn yn cyfateb i 43% o wariant blynyddol y Cyngor ar wasanaethau<sup>4</sup>.

Mae 4% o'r 112 o ardaloedd yng Nghaerfyrddin yn rhai yr ystyrir eu bod ymhlith y 10% o ardaloedd mwyaf amddifadus yng Nghymru; dyma'r 15fed uchaf o'r 22 o gynghorau unedol yng Nghymru.

Rhagamcanir y bydd poblogaeth Caerfyrddin yn cynyddu 4% rhwng 2020 a 2040 o 188,500 i 196,100, gan gynnwys gostyngiad o 6% yn nifer y plant, gostyngiad o 3% yn nifer y boblogaeth o oedran gweithio a chynnydd o 29% yn nifer y bobl 65 oed a throsodd<sup>5</sup>.

## Dyletswyddau'r Archwilydd Cyffredinol

### Gwnaethom gwblhau gwaith yn ystod 2020-21 i gyflawni'r dyletswyddau canlynol

- **Gwelliant parhaus**

Yn ystod 2021-22, bu'n rhaid i'r Archwilydd Cyffredinol asesu a wnaeth y Cyngor fodloni'r gofynion adroddiad perfformiad mewn perthynas â 2020-21.

- **Archwilio'r Cyfrifon**

Bob blwyddyn mae'r Archwilydd Cyffredinol yn archwilio datganiadau ariannol y Cyngor i wneud yn siŵr y rhoddir cyfrif priodol am arian cyhoeddus.

- **Gwerth am arian**

Mae'r Archwilydd Cyffredinol yn archwilio a yw'r Cyngor wedi sefydlu trefniadau i gael gwerth am arian am yr adnoddau y mae'n eu defnyddio, a rhaid iddo fod wedi'i argyhoeddi ei fod wedi gwneud hyn.

- **Yr egwyddor datblygu cynaliadwy**

Mae angen i gyrff cyhoeddus gydymffurfio â'r ddyletswydd datblygu cynaliadwy wrth bennu eu hamcanion llesiant a chymryd camau i'w cyflawni. Rhaid i'r Archwilydd Cyffredinol asesu i ba raddau y maent yn gwneud hyn.

<sup>3</sup> Rydym yn diffinio cronfeydd ariannol wrth gefn defnyddiadwy fel cronfeydd wrth gefn y gellir eu defnyddio ar gyfer costau refeniw, lle nad yw'r diben wedi'i ddiogelu gan y gyfraith. Mae hyn yn golygu cyfanswm y gronfa gyffredinol, cronfeydd wrth gefn wedi'u clustnodi a balansau ysgolion. Nid yw'n cynnwys cronfeydd wrth gefn y Cyfrif Refeniw Tai, derbyniadau cyfalaf na grantiau cyfalaf anghymwysedig.

<sup>4</sup> Ffynhonnell: Datganiad o Gyfrifon 2021-22

<sup>5</sup> Ffynhonnell: StatsCymru

## Yr hyn a nodwyd gennym

### Archwiliad o Gyfrifon 2021-22 Cyngor Sir Caerfyrddin

Bob blwyddyn rydym yn archwilio datganiadau ariannol y Cyngor.



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

#### Ar gyfer 2021-22:

- rhoddodd yr Archwilydd Cyffredinol farn ddiamod bod datganiadau ariannol y Cyngor yn gywir ac yn deg ar 12 Rhagfyr 2022, sef 40 diwrnod cyn y terfyn amser statudol diwygiedig ar 31 Ionawr 2023.
- cafodd Datganiad Llywodraethu Blynnyddol ac Adroddiad Naratif y Cyngor eu paratoi yn unol â Chod CIPFA a chanllawiau perthnasol. Roeddent hefyd yn gyson â'r datganiadau ariannol a baratowyd gan y Cyngor ac ein gwybodaeth am y Cyngor.
- roedd ansawdd y datganiadau drafft a gyflwynwyd i'w harchwilio yn dda ar y cyfan.
- gwnaed nifer o newidiadau i ddatganiadau ariannol y Cyngor a gododd o'n gwaith archwilio, a thynnwyd sylw'r Pwyllgor Llywodraethu ac Archwilio at y rhain yn ein Hadroddiad ar yr Archwiliad o'r Datganiadau Ariannol ym mis Hydref 2022.
- yn ogystal â chyfrifoldebau'r Archwilydd Cyffredinol am archwilio datganiadau ariannol y Cyngor, mae ganddo gyfrifoldeb hefyd am ardystio nifer o hawliadau am grantiau a ffurflenni grantiau. Ni nodwyd unrhyw broblemau arwyddocaol yn ein gwaith hyd yma.
- cyhoeddodd yr Archwilydd Cyffredinol y dystysgrif a oedd yn cadarnhau bod yr archwiliad o'r cyfrifon ar gyfer 2021-22 wedi cael ei gwblhau.

## Gwelliant parhaus

Ardystiodd yr Archwilydd Cyffredinol fod y Cyngor wedi bodloni ei ddyletswyddau sy'n weddill o Fesur Llywodraeth Leol (Cymru) 2009 ar gyfer blwyddyn ariannol 2021-22, fel y'i cadwyd gan orchymyn a wnaed o dan Ddeddf Llywodraeth Leol ac Etholiadau (Cymru) 2021.

## Adolygiad asesu risg a sicrwydd

Rydym wedi adolygu'r trefniadau a roddir ar waith gan y Cyngor i sicrhau gwerth am arian wrth ddefnyddio ei adnoddau. Mae ein gwaith yn canolbwyntio ar yr agweddau canlynol ar drefniadau'r Cyngor:

- Cynllunio ar gyfer adfer
- Deddf Llywodraeth Leol ac Etholiadau (Cymru) 2021
  - Trefniadau ar gyfer Hunanasesu ac Asesiadau gan Banel
  - Trefniadau ar gyfer Dyletswydd i Ymgynghori a Strategaeth Cyfranogiad
  - Trefniadau ar gyfer y newidiadau i Bwyllgorau Llywodraethu ac Archwilio
  - Trefniadau ar gyfer sefydlu Cyd-bwyllgorau Corfforedig
  - Defnyddio Pŵer Cymhwysedd Cyffredinol
- Cynlluniau lleihau carbon

Nodir ein canfyddiadau o'r gwaith hwn yn ein:

- [Asesiad Sicrwydd a Risg – Diweddariad ar y Cynnydd \(Medi 2022\)](#)
- [Diweddariad ar Gynnydd Asesu Sicrwydd a Risg – Lleihau Carbon \(Rhagfyr 2022\)](#)

## Adolygiadau Thematig Llamu Ymlaen – Rheoli Asedau (Medi 2022) a Rheoli'r Gweithlu (Medi 2022)

Yn ystod 2021-22, gwnaethom archwilio sut mae cynghorau'n cryfhau eu gallu i drawsnewid, addasu a chynnal y gwasanaethau a ddarperir. Roedd ein gwaith yn canolbwyntio ar y ffordd roedd y Cyngor yn rheoli ei asedau a'i weithlu yn strategol.

- yn ein [hadroddiad](#) ar reoli asedau, nodwyd gennym fod y Cyngor yn cryfhau ei drefniadau ar gyfer rheoli asedau ac yn cydnabod bod cyfleoedd i ddefnyddio egwyddor datblygu cynaliadwy mwy i wella'r gwaith yma; ac
- yn ein [hadroddiad](#) ar reoli'r gweithlu, nodwyd gennym fod y Cyngor yn gwella'r cynllunio strategol ar gyfer ei weithlu ac yn cymryd camau i fynd i'r afael â materion capasiti staff mewn meysydd gwasanaeth allweddol, ond mae'n cydnabod bod angen cryfhau'r broses o fonitro perfformiad o ran rheoli'r gweithlu.

## Adolygiad Dilynol: Gwasanaethau Cynllunio (Hydref 2022)

Ym mis Gorffennaf 2021, cyhoeddwyd ein hadroddiad ar yr Adolygiad o Wasanaethau Cynllunio – Cyngor Sir Gaerfyrddin. Ar y cyfan, nodwyd gennym fod angen mynd i'r afael ar frys â materion arwyddocaol a hirsefydlog o ran perfformiad yn y gwasanaeth cynllunio er mwyn helpu i wireddu uchelgeisiau'r Cyngor. Roedd ein hadroddiad yn cynnwys 17 o argymhellion i'r Cyngor fynd i'r afael â nhw. Gwnaethom gwblhau adolygiad dilynol yn 2022 er mwyn adolygu'r camau a gymerwyd gan y Cyngor i fynd i'r afael â'r argymhellion hynny.

Nodwyd gennym fod y Cyngor wedi cymryd camau gweithredu penderfynol a chyflym mewn ymateb i ganfyddiadau ein hadroddiad yn 2021. Yn sgil yr adolygiad hwn, nodwyd gennym fod y Cyngor wedi ymdrin yn llwyddiannus â'n holl argymhellion ac wedi ymateb yn gyflym i gyflawni gwelliannau sylweddol yn ei wasanaeth cynllunio.

## Adolygiad Dilynol: Trosolwg a Chraffu – Addas ar gyfer y Dyfodol? (Medi 2022)

Ym mis Mehefin 2018, cyhoeddwyd ein hadroddiad Trosolwg a Chraffu – Addas ar gyfer y Dyfodol? – Cyngor Sir Gaerfyrddin sy'n cynnwys chwe chynnig ar gyfer gwella i'r Cyngor ymdrin â nhw. Yn 2022, cynhaliwyd adolygiad dilynol i asesu'r cynnydd a wnaed gan y Cyngor i ymdrin â'r cynigion ar gyfer gwella.

Nodwyd gennym fod y Cyngor wedi gwneud rhywfaint o gynnydd wrth fynd i'r afael â'n cynigion blaenorol i wella ond bod angen iddo gryfhau trefniadau o hyd i asesu effeithiolrwydd ac effaith ei swyddogaeth craffu.

## Arolygiaethau eraill

Gwnaethom hefyd ystyried canfyddiadau Archwiliadau Sicrwydd a gwblhawyd gan Arolygiaeth Gofal Cymru (AGC) ac adroddiadau Estyn, yn ogystal ag unrhyw gamau dilynol a gymerwyd gan y Cyngor mewn ymateb iddynt. Cwblhaodd Estyn arolygiad ym mis Mai 2022 ar bartneriaeth Dysgu Cymraeg Ceredigion – Powys – Sir Gâr. Ni chyhoeddwyd unrhyw adroddiadau gan AGC yn ymwneud â Chyngor Sir Gaerfyrddin ers ein Crynodeb Archwilio Diwethaf ym mis Ionawr 2022.

## Astudiaethau llywodraeth leol

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

## Cydweithio rhwng y Gwasanaethau Brys (Ionawr 2022)

Mae'r adroddiad hwn yn archwilio a yw'r gwasanaethau brys yng Nghymru yn cydweithio'n fwy agos i wneud defnydd gwell o adnoddau. Nid yw cydweithio ar draws y gwasanaethau brys i wneud y defnydd gorau o adnoddau'n gysyniad newydd. Mae gwasanaethau brys wedi bod yn cydweithio'n agos i ddarparu gwasanaeth gwell ar gyfer y cyhoedd am flynyddoedd lawer. Mae mentrau partneriaeth arloesol wedi arbed arian, wedi lleihau amseroedd ymateb lleol ac wedi cyfrannu at ddiogelu'r cyhoedd. Er gwaethaf hyn, ceir disgwyliadau cynyddol ym mhollisi'r llywodraeth ac mewn deddfwriaeth bod angen i gydweithio ddigwydd yn ddyfnach ac yn

gyflymach i sicrhau bod gwasanaethau rheng-flaen yn gallu ymateb i'r heriau sy'n wynebu Cymru yn yr 21ain ganrif. Ein casgliad ar y cyfan yw bod cydweithio rhwng gwasanaethau brys golau glas yn tyfu'n raddol ond bod angen newid sylweddol mewn gweithgarwch i gynyddu'r effaith i'r eithaf a gwneud y defnydd gorau o adnoddau.

## **Taliadau Uniongyrchol (Ebrill 2022)**

Mae Taliadau Uniongyrchol yn ddewis yn lle gofal neu gymorth a drefnir gan yr awdurdod lleol, a gallant helpu i ddiwallu anghenion unigolyn neu ofalwr. Nod Taliadau Uniongyrchol yw rhoi mwy o ddewis, mwy o hyblygrwydd a mwy o reolaeth i bobl dros y cymorth y maent yn ei gael. Roedd ein hadroddiad yn ystyried sut y mae Taliadau Uniongyrchol yn helpu i gynnal llesiant pobl ac a ydynt yn gwella ansawdd bywyd pobl. Gwnaethom fwrw golwg ar y modd y mae awdurdodau lleol yn rheoli Taliadau Uniongyrchol ac yn annog pobl i'w defnyddio, ac a yw'r gwasanaethau hyn yn rhoi gwerth am arian. Nodwyd gennym fod Taliadau Uniongyrchol yn cael eu gwerthfawrogi'n fawr, gyda'r bobl a ymatebodd i'r arolwg yn cydnabod eu bod yn eu helpu i aros yn annibynnol. Nodwyd gennym hefyd bod y gwaith o reoli a chefnogi pobl sy'n defnyddio Taliadau Uniongyrchol yn amrywio'n eang, a bod defnyddwyr gwasanaethau a gofalwyr yn cael gwasanaethau o safon wahanol.

## **'Amser am Newid' – Tlodi yng Nghymru (Tachwedd 2022)**

Nid ffenomen newydd mo Tlodi yng Nghymru ac mae mynd i'r afael â thlodi, yn enwedig tlodi plant, wedi bod yn flaenoriaeth hirsefydlog i Lywodraeth Cymru ac i gynghorau yng Nghymru. Mae'r argyfwng costau byw presennol yn effeithio ar ragor o bobl a bod teuluoedd sydd wedi llwyddo i fyw'n gyfforddus mewn tlodi am y tro cyntaf. Mae nifer o'r ysgogiadau i leddfu tlodi y tu hwnt i reolaeth Cymru. Mabwysiadodd Llywodraeth Cymru Strategaeth Tlodi Plant yn 2011, ond mae hon yn hen yng nghyd-destun yr argyfwng costau byw sydd ohoni, ac fe wnaed i ffwrdd â'r targed i ddileu tlodi plant erbyn 2020. Mae cynghorau a phartneriaid yn blaenoriaethu gwaith ar dlodi, ond mae'r cymysgedd o ddulliau a thirwedd partneriaethau sy'n gymhleth yn golygu bod uchelgeisiau, ffocws, camau gweithredu a blaenoriaethau'n amrywio'n fawr. Mae Llywodraeth Cymru'n trefnu bod cyllid refeniw sylweddol ar gael ond, oherwydd cymhlethdod a natur y materion, nid yw cyfanswm lefel y gwariant yn hysbys, ac ni wŷr yr un cyngor beth yw maint llawn ei wariant ar fynd i'r afael â thlodi a'i leddfu. Mae pob cyngor yn ddibynnol ar grantiau ond mae natur fyrdymor rhaglenni grant, gweinyddiaeth rhy gymhleth, gwendidau mewn canllawiau a chyfyngiadau grantiau, ac anawsterau gwario arian yn golygu nad yw cyllid yn cael yr effaith y gallai ei chael. Mae cynghorau'n ei chael hi'n anodd cyflawni gwaith ataliol oherwydd maint enfawr y galw o blith pobl mewn argyfwng.

## **'Cyfle Wedi'i Golli' – Mentrau Cymdeithasol (Rhagfyr 2022)**

Mae Mentrau Cymdeithasol yn eistedd rhwng y sectorau cyhoeddus a phreifat. Maent yn cymhwyso strategaethau masnachol i gael y gwelliannau mwyaf posibl mewn llesiant ariannol, cymdeithasol ac amgylcheddol, yn aml ar gyfer grwpiau unigol mewn cymdeithas, cymunedau diffiniedig neu ardaloedd daearyddol. Gall mentrau cymdeithasol weithio ym mhob un o sectorau economi Cymru ac ym mhob rhan o'r wlad, ac maent yn fwyfwy amlwg yn neddfwriaeth Senedd Cymru. Er eu bod yn honni eu bod yn gwerthfawrogi Mentrau Cymdeithasol, ychydig o awdurdodau lleol sydd wedi mapio eu gweithgarwch ac nid yw'r rhan fwyaf o awdurdodau yn gwybod beth yw maint y ddarpariaeth yn eu hardal. Mae llai na



thraean o awdurdodau lleol yn ystyried bod ganddynt gydberthynas ragweithiol a chefnogol â Mentrau Cymdeithasol ac nid oes gan yr un ohonynt strategaeth neu bolisi a neilltuwyd yn benodol sy'n egluro sut y maent yn bwriadu hyrwyddo a thyfu'r sector. O ganlyniad, nid yw'r awdurdodau lleol yn manteisio ar botensial Mentrau Cymdeithasol er mwyn helpu i ddarparu gwasanaethau a all wella ansawdd bywyd pobl. Mae trefniadau caffael a chomisiynu presennol yn aml rhwystro Mentrau Cymdeithasol rhag ymgysylltu, a hynny'n anfwriadol, gan eu bod yn fiwrocataidd. Nid yw gwerth cymdeithasol – y gwerth ychwanegol y gall prosesau comisiynu ei ddwyn – yn un o'r cymhellion allweddol i lawer o awdurdodau lleol. Nodwyd gennym nad yw'r rhan fwyaf o awdurdodau lleol yn cyflawni eu cyfrifoldebau o dan Ddeddf Gwasanaethau Cymdeithasol a Llesiant (Cymru) 2014 ac yn hyrwyddo Mentrau Cymdeithasol yn effeithiol.

## **'Gyda'n gilydd fe allwn ni' – Cydnerthedd a hunanddibyniaeth cymunedau (Ionawr 2023)**

Yn erbyn y sefyllfa hon sy'n gryn her, mae awdurdodau lleol yn dangos diddordeb cynyddol mewn hybu a thyfu cydnerthedd cymunedau; arfogi pobl i wneud mwy drostynt hwy eu hunain a bod yn llai dibynnol ar y wladwriaeth. Er bod 19 o'r 22 o awdurdodau lleol yn blaenoriaethu cydnerthedd cymunedau, yn rhy aml mae'r gwaith yn cael ei ddiffinio'n wael ac mae'r camau gweithredu sy'n tanategu cynlluniau'n rhy gul o ran eu ffocws. O ystyried yr heriau cymdeithasol, ariannol a demograffig sy'n wynebu Cymru, mae angen tyfu a chyflymu gweithgarwch. Mae capasiti, adnoddau a sgiliau yn brin, mae pobl yn wynebu dewisiadau anos ac yn ei chael hi'n anodd ymdopi â'r argyfwng costau byw. Mae gan gymunedau ac awdurdodau lleol eu hunain alluoedd gwahanol ac maent yn dechrau o leoedd gwahanol gyda'u heriau unigryw eu hunain i'w goresgyn. Rydym yn amlygu arferion ac enghreifftiau cadarnhaol sy'n dangos sut y mae eraill yn ceisio mynd i'r afael â her galluogi pobl i fod yn llai dibynnol ar wasanaethau awdurdodau lleol, a sut y maent yn cefnogi ac yn hwyluso'r newid hwn.

## **Gwaith sy'n mynd rhagddo ar gyfer 2022-23**

Gwnaethom hefyd fwrw golwg ar yr heriau a'r cyfleoedd allweddol sy'n wynebu'r Cyngor. Gallai'r rhain gael effaith ar allu'r Cyngor i gyflawni ei rwymedigaethau cyfreithiol mewn perthynas â'r egwyddor datblygu cynaliadwy a'r modd y mae'n defnyddio'i adnoddau.

Dyma'r gwaith sy'n mynd rhagddo ar gyfer 2022-23:

- Sicrwydd ac asesu risg gan gynnwys ffocws ar y canlynol:
  - Sefyllfa ariannol
  - Rheoli'r rhaglen gyfalaf
  - Defnyddio gwybodaeth am berfformiad – gan ganolbwyntio ar adborth gan ddefnyddwyr gwasanaeth a chanlyniadau
  - Pennu amcanion llesiant
- Adolygiad thematig – gofal heb ei drefnu. Mae'r adolygiad hwn yn cynnwys y sectorau iechyd a llywodraeth leol
- Adolygiad thematig – digidol.

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

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

Y tu hwnt i lywodraeth leol, yr Archwilydd Cyffredinol yw archwilydd allanol Llywodraeth Cymru a'r cyrff cyhoeddus a noddir ganddi ac sy'n gysylltiedig â hi, Comisiwn y Senedd a chyrff y Gwasanaeth Iechyd Gwladol yng Nghymru.

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

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

Mae'r ddogfen hon hefyd ar gael yn Saesneg.

**Pwyllgor Llywodraethu ac Archwilio**  
**17 MAWRTH 2023**

**ADRODDIAD ARCHWILIO CYMRU: LLAMU YMLAEN – RHEOLI ASED AU –  
 CYNGOR SIR CAERYRDDIN**

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

1. I nodi canfyddiadau ac argymhellion adroddiad lleol Archwilio Cymru.
2. I nodi ymateb Cyngor Sir Gâr i argymhellion yr adroddiad lleol sy'n berthnasol i'r Cyngor.

**Y Rhesymau:**

Mae'n ddyletswydd arnom i ystyried argymhellion adroddiadau rheoleiddio a Chynigion i Wella.

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. Alun Lenny, Aelod Cabinet dros Adnoddau

**Y Gyfarwyddiaeth:**

Prif Weithredwr

**Enw Pennaeth y Gwasanaeth:**

Jason Jones

**Awdur yr Adroddiad:**

Jason Jones

**Swyddi:**

Pennaeth Adfywio

**Rhifau ffôn:**

**Cyfeiriadau E-bost:**

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

# EXECUTIVE SUMMARY

## Governance and Audit Committee

### 17 March 2023

#### Audit Wales Report: Springing Forward – Asset Management Carmarthenshire County Council

##### PURPOSE

Audit Wales reviewed the Council's arrangements for managing its assets with a focus on office accommodation and buildings from which the Council delivers services to its residents. The findings are summarised in the report [Springing Forward Asset Management – Carmarthenshire County Council](#).

The review sought to answer the question: *Is the Council's strategic approach to its assets effectively helping the Council to strengthen its ability to transform, adapt and maintain the delivery of its services in the short and longer-term?*

##### SUMMARY OF FINDINGS

Overall, it found that: The Council is strengthening its arrangements for asset management and recognises that there are opportunities to use the sustainable development principle more to improve this work.

The Council is prioritising how it can use its assets to help support economic recovery and is drafting a new corporate asset management plan to cover the period to 2028.

The Council is strengthening its corporate arrangements for asset management, and is working collaboratively with its partners in this area, but recognises that it could use the sustainable development principle more to further improve this work.

There is limited performance information reported corporately on asset management and it is an area that the Council wants to strengthen.

##### RECOMMENDATIONS

###### Asset Management Planning

**R1** The Council needs to apply and embed the sustainable development principle in the way it plans, delivers and monitors the management of its assets.

###### Performance management

**R2** The Council needs to improve the performance management of its assets by:

- developing a set of performance and outcome measures that reflect the Council's ambitions for its assets and monitor these measures at a corporate level, including reporting to overview and scrutiny committee(s);
- benchmarking performance on asset management with other organisations.

**DETAILED REPORT ATTACHED?**

**YES:**

1. Audit Wales Report
2. Carmarthenshire Action Plan response

# 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:

Jason Jones

Head of Regeneration

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

## 1. Policy, Crime & Disorder and Equalities

### Corporate Strategy

The report's recommendations support the Corporate Strategy and our Well-being Objectives.

### Regulatory Reports

- All regulatory report recommendations are entered onto the Council's performance monitoring system (PIMS) and any reasons for discounting recommendations should be explained and recorded. Progress against recommendations is monitored and reported.
- All regulatory reports are considered by lead Director, Cabinet, Governance and Audit Committee and where appropriate relevant scrutiny committees.

### Governance and Audit Committee

- The role of the Governance and Audit Committee is to review and assess the risk management, internal control, performance management and corporate governance arrangements of the Council, it is expected that the council's Governance and Audit Committee formally consider all reports of external review bodies – principally; Audit Wales, Estyn and the Care Inspectorate Wales (CIW).
- As well as actively considering reports, committees are expected to assure themselves that there are arrangements in place to monitor and evaluate progress against any recommendations contained in them. The focus here should be on holding executives and officers to account to ensure that reports and recommendations have been acted upon.

### Scrutiny

- Some reports may also be relevant for consideration by scrutiny committees.
- Constitution- Scrutiny-Terms of Reference-item 6  
*To monitor progress in the undertaking of WA reviews including the recommendation of future service options/performance targets to Cabinet/Council and the monitoring of subsequent action plans*

## CONSULTATIONS

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

Signed: **Jason Jones, Head of Regeneration**

1. Local Member(s) – N/A
2. Community / Town Council – N/A
3. Relevant Partners

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

Cllr. Alun Lenny

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

#### **THESE ARE DETAILED BELOW**

Title of Document	File Ref No.	Locations that the papers are available for public inspection
Carmarthenshire County Council – Springing Forward Asset Management		<a href="#">Audit Wales</a>

## Springing Forward – Asset Management – Carmarthenshire County Council

Audit year: 2021-22

Date issued: August 2022

Document reference: 3113A2022

This document has been prepared for the internal use of Carmarthenshire County Council as part of work performed/to be performed in accordance with Section 17 of the Public Audit (Wales) Act 2004, and Section 15 of the Well-being of Future Generations Act (Wales) 2015.

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This document is also available in Welsh.



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# Summary report

## Summary

### What we reviewed and why

- 1 We reviewed the Council's arrangements for managing its assets with a focus on office accommodation and buildings from which the Council delivers services to its residents. We looked at how the Council strategically plans the use of its assets, how it monitors the use of its assets and how it reviews and evaluates the effectiveness of its arrangements.
- 2 We delivered this review as the world moves forward, using the experiences from the global COVID-19 pandemic, to look at how councils are strengthening their ability to transform, adapt and maintain the delivery of services, including those delivered in partnership with key stakeholders and communities.
- 3 We have undertaken this project at all councils as part of our 2021 audit plans to help discharge the Auditor General's duties under section 17 of the Public Audit (Wales) Act 2004 (the 2004 Act) and section 15 of the Well-being of Future Generations (Wales) Act 2015.
- 4 When we began our audit work under the Well-being of Future Generations (Wales) Act 2015 (the Act) we recognised that it would take time for public bodies to embed the sustainable development principle, but we did also set out our expectation that over the medium term we would expect public bodies to be able to demonstrate how the Act is shaping what they do. It is approaching seven years since the Act was passed and we are now into the second reporting period for the Act. Therefore, we would expect public bodies to be able to demonstrate that the Act is integral to their thinking and genuinely shaping what they do.
- 5 Under the Act, councils must carry out sustainable development in accordance with the sustainable development principle. To do something in accordance with the sustainable development principle means that the Council must act in a manner which seeks to ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs. To act in that manner, the Council must take account of the five ways of working: long-term, integration, involvement, collaboration, and prevention. Statutory guidance on the Act sets out seven core organisational activities that it is essential that the sustainable development principle is applied to. Assets is one of those core organisational activities.
- 6 This review had three main aims:
  - to gain assurance that councils are putting in place arrangements to transform, adapt and maintain the delivery of services;
  - to explain the actions that councils are taking both individually and collectively to strengthen their arrangements; and

- to inspire councils and other organisations to further strengthen their arrangements through capturing and sharing notable practice examples and learning and making appropriate recommendations.
- 7 We undertook the review during the period November 2021 to April 2022.
- 8 The Council holds a wide range of building assets including: administrative buildings, leisure centres, libraries, schools, children's centres, care homes, community centres, day centres, and commercial properties. The value of the Council's properties, excluding housing and infrastructure assets is approximately £754 million.

## What we found

- 9 Our review sought to answer the question: Is the Council's strategic approach to its assets effectively helping the Council to strengthen its ability to transform, adapt and maintain the delivery of its services in the short and longer-term?
- 10 Overall, we found that: The Council is strengthening its arrangements for asset management and recognises that there are opportunities to use the sustainable development principle more to improve this work.
- 11 We reached this conclusion because:
- the Council is prioritising how it can use its assets to help support economic recovery and is drafting a new corporate asset management plan to cover the period to 2028.
  - the Council is strengthening its corporate arrangements for asset management, and is working collaboratively with its partners in this area, but recognises that it could use the sustainable development principle more to further improve this work.
  - there is limited performance information reported corporately on asset management and it is an area that the Council wants to strengthen.

## Recommendations

### Exhibit 1: recommendations

The table below sets out the recommendations that we have identified following this review.

Recommendations	
<b>Asset Management Planning</b>	
R1	The Council needs to apply and embed the sustainable development principle in the way it plans, delivers and monitors the management of its assets <sup>1</sup> .
<b>Performance management</b>	
R2	The Council needs to improve the performance management of its assets by: <ul style="list-style-type: none"><li>• developing a set of performance and outcome measures that reflect the Council's ambitions for its assets and monitor these measures at a corporate level, including reporting to overview and scrutiny committee(s);</li><li>• benchmarking performance on asset management with other organisations.</li></ul>

<sup>1</sup> The sustainable development principle is set out in the Well-Being of Future Generations (Wales) Act 2015

# Detailed report

**The Council is strengthening its arrangements for asset management and recognises that there are opportunities to use the sustainable development principle more to improve this work**

**The Council is prioritising how it can use its assets to help support economic recovery and is drafting a new corporate asset management plan to cover the period to 2028**

- 12 The Council has a clear vision to reduce the amount of office accommodation it uses, but recognises that the vision for its assets in some key service delivery areas eg education and social services needs to be reset. The Council intends to agree the vision for the future of its assets with Councillors following the local government elections in May 2022.
- 13 The Council is developing a new corporate asset management plan to cover the period 2023-28, but it is currently not systematically looking at the challenges and opportunities in relation to all its assets over the longer-term.
- 14 The Council is looking to reduce its corporate office space by at least 50% and has established a 'Better Ways of Working' corporate officer group to develop the proposals for this. Managers have been asked by the Better Ways of Working Group to consider their assets in light of how council services could operate going forward, rather than how they operated prior to the beginning of the pandemic. Economic regeneration is a key priority for the Council and it is focused on how it can use its assets moving forward to support that agenda. One of the ways that the Council is doing this is by working with its partners to develop office hubs in town centres to support footfall.
- 15 The Council has thought about the wider impacts of its use of assets, particularly on planning for economic recovery and regeneration. The Council has a strong external focus on actively engaging with partners on key asset projects that support national and local well-being goals, eg the Pentre Awel – Wellness Hub.

**The Council is strengthening its corporate arrangements for asset management, and is working collaboratively with its partners in this area, but recognises that it could use the sustainable development principle more to further improve this work**

- 16 The Council is working effectively with its partners on asset management. The Council has a corporate asset transfer programme and reports that approximately

95% of relevant assets have been transferred from Council management to other partners. For example, nearly all park and playground facilities have now been transferred to either Town and Community Councils or other organisations who are managing and maintaining these assets under long leases. The Council will be engaging with Town and Community Councils and the third sector to make sure that the asset transfers are working well, as the Council wants to ensure that the model remains successful and sustainable.

- 17 The Council's Head of Property chairs the Mid and West Wales Asset Collaboration Group on behalf of the Welsh Government's Ystadau Cymru<sup>2</sup>. The Mid and West Wales Asset Collaboration Group covers the Pembrokeshire, Ceredigion, Powys, and Carmarthenshire county areas. This Asset Collaboration Group has the potential to identify and extend best practice in estate management through property-related projects to support the four Public Service Boards' Wellbeing Objectives. An example includes a current initiative to map community assets in Carmarthenshire and support Community and Town Councils to develop improved property mapping data.
- 18 Hywel Dda University Health Board and the Council's Social Care Department work together and have co-located offices in Llanelli, Carmarthen and Ammanford. There is also a proposal, developed through the Public Service Board (PSB), to open a shared office accommodation hub in Llandelilo. This is a pilot project and if it works well the partners plan to develop more of these hubs. The PSB assets working group has signed up to a 'Charter and Principles' paper. The objectives of this charter include: development of shared town centre hubs (providing agile working areas that allow staff from any of the partner organisations to use the space for flexible working), commitment to reduced travel, working towards meeting the Welsh Government's target to have 30% of staff work at or close to home, and development of an electric vehicle charging network. In these hubs there will also be the potential to provide customer facing provision, eg the library having provision there on some days.
- 19 The Council has introduced an acquisition and disposal programme and is considering the sustainable development principles when taking decisions on its assets. For example, the Council when disposing of assets does not just consider the amount of money it can get for the asset but what else it might achieve from using it in a different way or selling it under market value to help to deliver other corporate objectives eg delivery of affordable housing.
- 20 The Council approved a Net Zero Carbon Plan on 12 February 2020, and its Corporate Strategy sets out that the it 'will continue to implement and promote the increased use of renewable energy and become carbon neutral by 2030'. The Council is currently participating in the Welsh Government supported RE:FIT

<sup>2</sup> Ystadau Cymru (formerly known as the National Assets Working Group) encourages excellence in active management of the Welsh public sector estate through strategic collaboration and good practice guidance.

Cymru programme<sup>3</sup>, which aims to carry-out energy efficiency opportunities in non-domestic buildings. Phase 1 of the Council's RE:FIT programme is anticipated to result in overall carbon savings of 675 tCO<sub>2</sub>e<sup>4</sup> per year.

- 21 The Council is updating the information it holds on its assets, undertaking a rolling programme of condition surveys. The property service section has recently been given approval to recruit extra condition surveyors. The updated conditions surveys will be integral to improving knowledge on backlog maintenance requirements and support future maintenance planning. The improved data on building condition will also help to better inform the Council's decisions regarding rationalisation and investment in properties for future service delivery. The Council is also migrating all information on compliance related matters eg fire risk assessments, electrical certificates into one system to help ensure a consistent approach to estate management across service areas.
- 22 The Council's regeneration, major projects, and property management services are under one management function which helps it to ensure good strategic alignment on asset management. The Council has not identified any major concerns on staff resources in relation to asset management but there are concerns about national increases in labour and materials costs which are impacting on both the Council's maintenance and capital programmes.
- 23 The Council has a successful track record in its funding bids to Welsh Government and more recently in the Levelling Up bids, to help support development of its asset base. The Council is committed and ambitious to use its assets to support economic recovery in the county.

### **There is limited performance information reported corporately on asset management and it is an area that the Council wants to strengthen**

- 24 The Council, in its draft corporate asset management plan, has a number of measures to assess its performance on its assets including: property condition, suitability and sufficiency, running costs, and rent arrears on its commercial estate. The only performance measure that gets reported corporately through to overview and scrutiny committee in relation to asset management is the percentage performance against target to generate capital receipts to support the capital program. The Council recognises that the current performance indicators are not sufficient to assess the performance position on its assets nor necessarily focused

<sup>3</sup> Welsh Government is supporting public sector bodies in Wales to make their buildings and assets more energy efficient. RE:FIT Cymru enables the Welsh public sector to secure guaranteed savings and reduce carbon impacts by accessing Energy Performance Contracts.

<sup>4</sup> tCO<sub>2</sub>e means the amount of greenhouse gasses emitted during a given period, measured in metric tonnes of carbon dioxide equivalent.

on the right areas and wants to address this when it develops its new asset management plan.

- 25 The Council's new business planning arrangement is helping it to develop a better corporate oversight of the asset management plans of its services. The Head of Service with corporate responsibility for asset management sits on the new corporate engagement and challenge sessions when the individual service business plans are considered.
- 26 The Council is part of various local authority groups that look at asset management issues but is not involved in any benchmarking regarding data on its assets.
- 27 The Council reports positively on learning from responding to the pandemic. This learning has enabled the Council to work more closely with partners and respond more quickly to opportunities. A recent example of this was the six week turn around to submit the successful funding bid to purchase the former Debenhams building in Carmarthen for a town centre partnership hub, that can serve both as office accommodation and for front facing service delivery.







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galwadau ffôn yn Gymraeg a Saesneg.

## Council Response Form

### Council action planned in response to the recommendations issued by Audit Wales

**Council:** Carmarthenshire County Council

**Report title:** Springing Forward – Asset Management

**Issue date:** August 2022

**Document reference:** 3113A2022

Ref	Recommendation	Council action planned in response to the recommendation issued by Audit Wales	Target date for completion of actions	Responsible officer
<b>R1</b>	<b>Asset Management Planning</b> R1 The Council needs to apply and embed the sustainable development principle in the way it plans, delivers and monitors the management of its assets	Council has set up a strategic Land Use Group to review its holdings with the sustainable development principle being central to the review. As part of the work, the group has been tasked with considering opportunities for: <ul style="list-style-type: none"> <li>• Energy Generation</li> <li>• Tree planting</li> <li>• Phosphate mitigation</li> <li>• Enhancing biodiversity</li> <li>• Community needs/Growing spaces</li> </ul>	Group has completed phase one covering rural estate and to be considered by Joint Rural Affairs & Climate Change Advisory Panels for comments prior to referral to Cabinet.  Further phases planned up to end of 2023	Stephen Morgan

Ref	Recommendation	Council action planned in response to the recommendation issued by Audit Wales	Target date for completion of actions	Responsible officer
R2	<p><b>Performance management</b></p> <p>R2 The Council needs to improve the performance management of its assets by:</p> <ul style="list-style-type: none"> <li>developing a set of performance and outcome measures that reflect the Council's ambitions for its assets and monitor these measures at a corporate level, including reporting to overview and scrutiny committee(s);</li> <li>benchmarking performance on asset management with other organisations.</li> </ul>	<p>We are currently reviewing our performance and outcome measures, focusing on 3 key themes:</p> <ol style="list-style-type: none"> <li>1. Sustainability of our Estate</li> <li>2. Condition of our Estate</li> <li>3. Utilisation/Efficiency of our Estate</li> </ol> <p>Via our participation in the Property &amp; Estates group of the Association of Chief Estates Officers (ACES) and the Consortium of Local Authorities in Wales (CLAW), we will be undertaking a review of benchmarking performance as part of the group's ongoing discussions with Data Cymru on delivering suitable indicators.</p>	<p>1a - Energy team to provide programme of acquiring display Energy Certificates for all relevant CCC portfolios 1 March 2023.</p> <p>1b - Baseline data from Current Display Energy Certificates to be supplied by Energy Team by 1 April 2023.</p> <p>1c - Performance monitoring will cover delivery of programme for necessary DECS together with movements in grades and consumption data</p> <p>2a Baseline data set for portfolios subject to recent condition reports 1<sup>st</sup> March 2023</p> <p>2b Programme of remaining Condition Surveys agreed by 1st April 2023</p> <p>2c – performance monitoring will cover delivery of programme noted above and</p>	Stephen Morgan

Ref	Recommendation	Council action planned in response to the recommendation issued by Audit Wales	Target date for completion of actions	Responsible officer
			<p>resulting movement in grades and backlog maintenance figure once baseline is set.</p> <p>3. Occupye Desk monitor system to be installed post BWoW programme across various sites June – Dec 2023.</p>	

Mae'r dudalen hon yn wag yn fwiadol

**Pwyllgor Llywodraethu ac Archwilio**  
**17 Mawrth 2023**

<b>ADRODDIAD ARCHWILIO CYMRU: LLAMU YMLAEN – RHEOLI GWEITHLU –CYNGOR SIR CAERYRDDIN</b>		
<b>Yr Argymhellion / Penderfyniadau Allweddol Sydd Eu Hangen:</b> <ol style="list-style-type: none"> <li>1. I nodi canfyddiadau ac argymhellion adroddiad lleol Archwilio Cymru.</li> <li>2. I nodi ymateb Cyngor Sir Gâr i argymhellion yr adroddiad lleol sy'n berthnasol i'r Cyngor.</li> </ol>		
<b>Y Rhesymau:</b> Mae'n ddyletswydd arnom i ystyried argymhellion adroddiadau rheoleiddio a Chynigion i Wella.		
Angen i'r Cabinet wneud penderfyniad NAC OES Angen i'r Cyngor wneud penderfyniad NAC OES		
<b>YR AELOD O'R CABINET SY'N GYFRIFOL AM Y PORTFFOLIO:-</b> Cyng. Philip Hughes, Aelod Cabinet dros Drefniadaeth a Gweithlu		
<b>Y Gyfarwyddiaeth:</b> Prif Weithredwr  <b>Enw Pennaeth y Gwasanaeth:</b> Paul Thomas  <b>Awdur yr Adroddiad:</b> Paul Thomas	<b>Swyddi:</b> Prif Weithredwr Cynorthwyol (Rheoli Pobl)	<b>Rhifau ffôn:</b>  <b>Cyfeiriadau E-bost:</b> <a href="mailto:PRThomas@sirgar.gov.uk">PRThomas@sirgar.gov.uk</a>

# EXECUTIVE SUMMARY

## Governance and Audit Committee

### 17 March 2023

#### Audit Wales Report: Springing Forward – Workforce Management Carmarthenshire County Council

##### **Purpose**

Audit Wales reviewed the Council's arrangements for managing its workforce. It looked at how the Council strategically plans for its workforce, how it monitors the use of its workforce and how it reviews and evaluates the effectiveness of its arrangements.

It undertook the same project in all other Welsh Councils.

The review had three main aims:

- to gain assurance that councils are putting in place arrangements to transform, adapt and maintain the delivery of services;
- to explain the actions that councils are taking both individually and collectively to strengthen their arrangements; and
- to inspire councils and other organisations to further strengthen their arrangements through capturing and sharing notable practice examples and learning and making appropriate recommendations.

##### **In summary the report found:**

- The Council is improving the strategic planning for its workforce and is taking action to address staff capacity issues in key service areas but recognises that performance monitoring of workforce management needs strengthening
- The Council is taking action to improve strategic workforce planning but needs a greater focus on its workforce requirements over the longer-term
- The Council is working to address strategic risks it has identified in relation to workforce capacity, and to strengthen its staff engagement arrangements
- The Council recognises that its corporate arrangements for monitoring performance in relation to its workforce need improving

##### **Recommendations**

**R1** Workforce Management - The Council should strengthen the application of the sustainable development principle to improve the way it plans, delivers, and monitors the management of its workforce.

**R2** Performance Management - The Council needs to strengthen the performance management of its workforce by: developing a set of performance and outcome measures that reflect the Council's ambitions for its workforce, and monitor these measures at a corporate level, including reporting to overview and scrutiny committee(s); and benchmarking performance on workforce management with other organisations.

**DETAILED REPORT ATTACHED?**

**YES:**

1. Audit Wales Report
2. Carmarthenshire Action Plan response



## IMPLICATIONS

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

Signed: Paul Thomas, Assistant Chief Executive (People Management)

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

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

#### Corporate Strategy

The report's recommendations support the Corporate Strategy and our Well-being Objectives.

#### Regulatory Reports

- All regulatory report recommendations are entered onto the Council's performance monitoring system (PIMS) and any reasons for discounting recommendations should be explained and recorded. Progress against recommendations is monitored and reported.
- All regulatory reports will now be considered by Corporate Management Team, Cabinet, Governance and Audit Committee and where appropriate relevant scrutiny committees.

#### Governance and Audit Committee

- The role of the Governance and Audit Committee is to review and assess the risk management, internal control, performance management and corporate governance arrangements of the Council, it is expected that the council's Governance and Audit Committee formally consider all reports of external review bodies – principally; Audit Wales, Estyn and the Care Inspectorate Wales (CIW).
- As well as actively considering reports, committees are expected to assure themselves that there are arrangements in place to monitor and evaluate progress against any recommendations contained in them. The focus here should be on holding executives and officers to account to ensure that reports and recommendations have been acted upon.

#### Scrutiny

- Some reports may also be relevant for consideration by scrutiny committees.
- Constitution- Scrutiny-Terms of Reference-item 6  
*To monitor progress in the undertaking of WA reviews including the recommendation of future service options/performance targets to Cabinet/Council and the monitoring of subsequent action plans.*

## CONSULTATIONS

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

**Signed:**

Paul Thomas, Assistant Chief Executive (People Management)

1. Local Member(s) – N/A
2. Community / Town Council – N/A
3. Relevant Partners

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

Cllr. Philip Hughes

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

**THESE ARE DETAILED BELOW**

Title of Document	File Ref No.	Locations that the papers are available for public inspection
Carmarthenshire County Council – Springing Forward – Workforce Management		<a href="#">Audit Wales</a>

# Springing Forward – Workforce Management – Carmarthenshire County Council

Audit year: 2021-22

Date issued: August 2022

Document reference: 3123A2022

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## Detailed report

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The Council is taking action to improve strategic workforce planning but needs a greater focus on its workforce requirements over the longer-term	7
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The Council is working to address strategic risks it has identified in relation to workforce capacity, and to strengthen its staff engagement arrangements	9
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The Council recognises that its corporate arrangements for monitoring performance in relation to its workforce need improving	10
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# Summary report

## Summary

### What we reviewed and why

- 1 We reviewed the Council's arrangements for managing its workforce. We looked at how the Council strategically plans for its workforce, how it monitors the use of its workforce and how it reviews and evaluates the effectiveness of its arrangements.
- 2 We delivered this review as the world moves forward, using the experiences from the global COVID-19 pandemic, to look at how councils are strengthening their ability to transform, adapt and maintain the delivery of services, including those delivered in partnership with key stakeholders and communities.
- 3 We have undertaken this project at all councils as part of our 2021 audit plans to help discharge the Auditor General's duties under section 17 of the Public Audit (Wales) Act 2004 (the 2004 Act) and section 15 of the Well-being of Future Generations (Wales) Act 2015.
- 4 When we began our audit work under the Well-being of Future Generations (Wales) Act 2015 (the Act) we recognised that it would take time for public bodies to embed the sustainable development principle, but we did also set out our expectation that over the medium term we would expect public bodies to be able to demonstrate how the Act is shaping what they do. It is approaching seven years since the Act was passed and we are now into the second reporting period for the Act. Therefore, we would expect public bodies to be able to demonstrate that the Act is integral to their thinking and genuinely shaping what they do.
- 5 Under the Act, councils must carry out sustainable development in accordance with the sustainable development principle. To do something in accordance with the sustainable development principle means that the Council must act in a manner which seeks to ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs. To act in that manner, the Council must take account of the five ways of working: long-term, integration, involvement, collaboration, and prevention. Statutory guidance on the Act sets out seven core organisational activities that it is essential that the sustainable development principle is applied to. Workforce is one of those core organisational activities.
- 6 This review had three main aims:
  - to gain assurance that councils are putting in place arrangements to transform, adapt and maintain the delivery of services;
  - to explain the actions that councils are taking both individually and collectively to strengthen their arrangements; and
  - to inspire councils and other organisations to further strengthen their arrangements through capturing and sharing notable practice examples and learning and making appropriate recommendations.

- 7 We undertook the review during the period January 2022 to April 2022.
- 8 There are approximately 8,000 full time equivalent members of staff in the Council's workforce.

## What we found

- 9 Our review sought to answer the question: Is the Council's strategic approach to its workforce effectively helping the Council to strengthen its ability to transform, adapt and maintain the delivery of its services in the short and longer-term?
- 10 Overall, we found that: The Council is improving the strategic planning for its workforce and is taking action to address staff capacity issues in key service areas but recognises that performance monitoring of workforce management needs strengthening.
- 11 We reached this conclusion because:
- the Council is taking action to improve strategic workforce planning but needs a greater focus on its workforce requirements over the longer-term.
  - the Council is working to address strategic risks it has identified in relation to workforce capacity, and to strengthen its staff engagement arrangements.
  - the Council recognises that its corporate arrangements for monitoring performance in relation to its workforce need improving.

## Recommendations

### Exhibit 1: recommendations

The table below sets out the recommendations that we have identified following this review.

Recommendations	
<b>Workforce management</b>	
R1	The Council should strengthen the application of the sustainable development principle <sup>1</sup> to improve the way it plans, delivers, and monitors the management of its workforce.

<sup>1</sup> The sustainable development principle is set out in the Well-Being of Future Generations (Wales) Act 2015

## Recommendations

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### Performance management

R2 The Council needs to strengthen the performance management of its workforce by:

- developing a set of performance and outcome measures that reflect the Council's ambitions for its workforce, and monitor these measures at a corporate level, including reporting to overview and scrutiny committee(s); and
- benchmarking performance on workforce management with other organisations.



# Detailed report

The Council is improving the strategic planning for its workforce and is taking action to address staff capacity issues in key service areas but recognises that performance monitoring of workforce management needs strengthening

**The Council is taking action to improve strategic workforce planning but needs a greater focus on its workforce requirements over the longer-term**

- 12 During the earlier stages of the COVID-19 pandemic, the Council's staff worked differently, with large numbers working from home or being redeployed to other roles. The Council's recent Investors in People<sup>2</sup> assessment found that almost a thousand employees were prepared to retrain, doing very different jobs in a positive and highly supportive manner to help with the response to the pandemic.
- 13 The Council has provided additional temporary funding to strengthen its employee wellbeing support in response to the pandemic. The Employee Wellbeing team introduced an Employee Wellbeing Advice and Support Service to help employees through the initial phase of the pandemic. Employee Wellbeing Co-ordinators developed new intranet pages directing employees to a wide range of self-help and other support services in response to the issues being faced, such as homeworking, mental health, and health fitness interventions. Corporate funding was made available to establish Health and Wellbeing Co-ordinator (Mental Health). The Employee Wellbeing Service is building on these positive aspects to help ensure that wellbeing continues to be a key priority for the future. The Council has expanded its network of Health and Wellbeing Champions. These Champions are members of staff that help promote and support health and wellbeing matters in their directorates. There are now more than 60 Champions throughout the Council and over 60 in schools. The Council anticipates that the number of Champions will increase over the coming months.
- 14 The Transformation Innovation and Change Team (TIC) is looking at how the organisation builds forward from the initial phases of the pandemic. A Council review of the COVID-19 experience in 2021 suggests that it has changed the organisation, made it more agile, with quicker decision making and better cross departmental working. The Council is very keen to build on these positive aspects related to its workforce including: greater staff flexibility, the can-do attitude, more trust being shown in staff, enhanced team working and better cross departmental

<sup>2</sup> Investors in People is a standard for people management, offering accreditation to organisations that adhere to the Investors in People Standard

working. The TIC team has been asked to work with services to identify 'alternative ways of working' that have been adopted over the last two years, and to review whether there are opportunities for these to be implemented on a permanent basis, especially if these resulted in smarter, more efficient ways of delivering the service that met the needs of the customer.

- 15 The Council has established a Better Ways of Working Group. This group has developed the 'Better Ways of Working - Our People Framework'. This was agreed by Corporate Management Team in April 2021. All employees will work in one of three ways: multi-located, fixed-located, or community located. The Council has agreed a 'Key Principles of our Better Ways of Working (BWoW) Framework.' This framework has been developed to underpin the foundation for the change the Council sees as required to modernise its services. The 'Case for Change' document, sets out the key principles that it will apply, including: agile working will become the norm for office staff, the Council operating with fewer buildings, sharing workspace with other public sector organisations, wherever possible staff being located in areas that support the Council's Economic Development Strategy, and managers involving staff in shaping new service delivery models, applying a customer first approach.
- 16 Through the Better Ways of Working Group, the Council has begun to set out its future vision for its workforce but it does not currently have a clear, up to date plan for its workforce. The Council recognises this and identifies it as an area for development.
- 17 The Council is strengthening its approach to the use of data to understand its workforce and service demand but recognises that it does not yet have a thorough understanding of the long-term factors that will impact its workforce and the challenges and opportunities that may result. The Council told us that the pandemic has catalysed the need for it to focus more on workforce analysis and the need for a workforce plan. During 2021 the Council engaged with the Local Government Association to run sessions with senior staff looking at workforce planning issues. These sessions started to look at strengths, weaknesses, opportunities and threats for the Council's workforce planning arrangements. The Council sees the key workforce challenges in the next 5 years as: recruitment (developing a modern recruitment strategy to get the right people and growing their own talent), improving the Council brand (being the employer of choice), addressing the issue of an aging workforce (developing a more refined workforce plan), management of a remote workforce, and dealing with a potential reduction in funding and the impact this would have on staffing levels. The Council has started to develop a succession planning dashboard to give more data to managers to help with workforce planning.
- 18 The Council's People Management Business Plan (January 2022) identifies a number of improvement areas including the need to: review the current People Strategy (in light of the pandemic to support the organisation to recover), develop a new workforce strategy and strategic workforce plan, and to develop a workforce engagement strategy. It also identifies the need to review the Learning and

Development function to ensure alignment of learning and development to the new people strategy and the Council's corporate priorities.

- 19 The Council makes efforts to integrate workforce matters with other things it is trying to achieve and this can be seen in terms of its approach to better ways of working, and its links to economic regeneration and carbon reduction. Its new business planning arrangements also support stronger corporate oversight and better integration across services, with managers of key corporate areas being part of the business planning engagement and review sessions with its Heads of Service.

### **The Council is working to address strategic risks it has identified in relation to workforce capacity, and to strengthen its staff engagement arrangements**

- 20 The Council is committed to strengthening its arrangements for engaging with its staff and has been actively consulting with managers and staff in relation to its Better Ways of Working Strategy. The Council intends to develop a specific workforce engagement strategy, which will include a mechanism to hear directly from staff about their views.
- 21 The Council has identified a number of corporate risks in relation to workforce capacity both within its People Management Service and in other areas of its service delivery. One of the areas where there are capacity issues in the HR Service is in recruitment. The Council has identified that recruitment volume has increased (the stated reasons for this are higher turnover of staff in key service areas including: social care, waste service and lorry drivers, as well as schools making more use of the HR Service to undertake recruitment on their behalf). Challenges dealing with this increase in demand are exacerbated by difficulties with the recruitment process. The Council identifies that the current recruitment process is not fit for purpose and the Council's TIC team are involved in reviewing the process to help identify improvements. The Council is looking to purchase a new HR IT system to help drive efficiencies through greater automation. Alongside rolling out the new IT system there will be training for recruiting managers about their responsibilities in the recruitment process. The HR Service has identified the need to develop a service level agreement with departments, to define what the role of the HR Service is and what is the responsibility of managers and to set out the service standards for the HR Service.
- 22 The Council is working with its partners in key areas on workforce related matters, including in social care. A 10-year strategy for social care has been developed to help ensure that there is throughput of quality people into the care profession. The Council is looking at launching a care academy to recruit more career minded 18–24-year-olds and take them through a career pathway in social care. The Council is looking to partner with further education providers to deliver this academy. The Council has also collaborated successfully with partners on developing public

sector hubs in the County eg the former Debenhams building in Carmarthenshire and the planned hub in Llandeilo. The Council has also identified a medium level risk around School Leadership and the Council's ability to recruit and retain high quality and resilient school leaders who can respond to and deal with the transformation of education in Wales. The Council is working in partnership with other councils through Partneriaeth<sup>3</sup> to help to support school improvement.

- 23 The Council holds a lot of HR data but further analysis and presentation of what the data means for departments needs to take place to make the data useful. The HR Service is looking to use its business partner model to provide added value by interpreting the data prior to reporting it to Departmental Management Teams.
- 24 The Council has introduced a new integrated impact assessment process to help to ensure that it gives due regard to the statutory duties that need to be considered when taking decisions. The new corporate process should help strengthen its arrangements in this area.

### **The Council recognises that its corporate arrangements for monitoring performance in relation to its workforce need improving**

- 25 The performance measures that the Council is using at a corporate level for monitoring performance in relation to its workforce are limited. The corporate measures only cover information related to sickness and apprenticeships. The Council recognises that it needs to develop a wider suite of performance measures for HR/workforce. As part of this process the Council should ensure that it is able to measure progress towards the longer term outcomes it is seeking to achieve. The Council has begun developing a dashboard for some HR metrics but this is not yet being reported systematically through Departmental Management Teams.
- 26 The Council participates in the Investors in People Standard and currently holds the silver award and is aiming for gold accreditation.
- 27 The Council is involved in national and regional groups looking at workforce matters and reports finding these useful, particularly at a local level. The only measure that it is benchmarking itself on relates to performance on sickness absence. Using wider benchmarking data can provide useful insight into councils' individual performance and can identify opportunities for learning from other organisations.

<sup>3</sup> Partneriaeth is the South West Wales Education Partnership which is working to deliver school improvement in the region. Three councils are in the partnership: Swansea, Carmarthenshire, and Pembrokeshire.





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We welcome correspondence and  
telephone calls in Welsh and English.  
Rydym yn croesawu gohebiaeth a  
galwadau ffôn yn Gymraeg a Saesneg.

## Council Response Form

### Council action planned in response to the recommendations issued by Audit Wales

**Council:** Carmarthenshire County Council

**Report title:** Springing Forward – Workforce Management

**Issue date:** August 2022

**Document reference:** 3123A2022

Ref	Recommendation	Council action planned in response to the recommendation issued by Audit Wales	Target date for completion of actions	Responsible officer
R1	<b>Workforce management</b> The Council should strengthen the application of the sustainable development principle to improve the way it plans, delivers, and monitors the management of its workforce.	<ul style="list-style-type: none"> <li>A new Transformation Strategy has been developed which will be monitored by the Transformation Board chaired by the Chief Executive. The five ways of working have been considered in developing the strategy.</li> </ul>	Complete	Paul Thomas
		<ul style="list-style-type: none"> <li>Develop a revised Workforce Strategy monitored by the</li> </ul>	January 2023	Paul Thomas

Ref	Recommendation	Council action planned in response to the recommendation issued by Audit Wales	Target date for completion of actions	Responsible officer
		Transformation Board chaired by the Chief Executive. The sustainable development principle will be embedded and five ways of working considered in developing the strategy.		
R2	<p><b>Performance management</b></p> <p>The Council needs to strengthen the performance management of its workforce by:</p> <ul style="list-style-type: none"> <li>• developing a set of performance and outcome measures that reflect the Council's ambitions for its workforce, and monitor these measures at a corporate level, including reporting to overview and scrutiny committee(s); and</li> <li>• benchmarking performance on workforce management with other organisations.</li> </ul>	A key feature of the revised Workforce Strategy will also be the development of a comprehensive Workforce Data Framework and ongoing monitoring and review mechanisms at a corporate level. This will be monitored by the Transformation Board chaired by the Chief Executive	June 2023	Paul Thomas



**Pwyllgor Llywodraethu ac Archwilio**  
**17 Mawrth 2023**

<b>Y DIWEDDARAF YNGHYLCH AR CYNLLUN ARCHWILIO MEWNOL 2022/23</b>		
<b>Yr Argymhellion / Penderfyniadau Allweddol Sydd Eu Hangen:</b> I dderbyn yr adroddiad.		
<b>Y Rhesymau:</b> Cyflwynir adroddiad cynnydd yn rheolaidd bob tro mae'r Pwyllgor Llywodraethu ac Archwilio yn cyfarfod.		
<b>Ymgynghorwyd â'r pwyllgor craffu perthnasol: NADDO</b>		
<b>Angen i'r Cabinet wneud penderfyniad: NAC OES</b> <b>Angen i'r Cyngor wneud penderfyniad: NAC OES</b>		
<b>YR AELOD O'R CABINET SY'N GYFRIFOL AM Y PORTFFOLIO:</b> Cyng. A Lenny		
<b>Y Gyfarwyddiaeth:</b> Gwasanathau Corfforaethol		
<b>Enw Pennaeth y Gwasanaeth:</b> Helen Pugh	<b>Swyddi:</b> Pennaeth Refeniw a Chydymffurfio Ariannol	<b>Rhif ffôn:</b> 01267 246223  <b>Cyfeiriad e-bost:</b> <a href="mailto:HPugh@sirgar.gov.uk">HPugh@sirgar.gov.uk</a>  <a href="mailto:CaPowell@sirgar.gov.uk">CaPowell@sirgar.gov.uk</a>
<b>Awdur yr Adroddiad:</b> Caroline Powell	Prif Archwilydd	

# Executive Summary

## Governance & Audit Committee

### 17 March 2023

#### 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 Reports are attached:

**Report A: Internal Audit Plan Progress Report for 2022/23**

**Report B: Summary of Completed Final Reports Relating to Key Financial Systems**  
A summary of Final Reports for the following key financial systems completed during the last Quarter is attached:

- |                          |
|--------------------------|
| 1. Cash & Bank           |
| 2. Housing Benefits      |
| 3. Value Added Tax (VAT) |

**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
<b>NONE</b>	<b>NONE</b>	<b>YES</b>	<b>NONE</b>	<b>NONE</b>	<b>NONE</b>	<b>NONE</b>

#### **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	<a href="#">Agenda for Governance &amp; Audit Committee on Friday, 11th March, 2022, 10.00 am</a>

Mae'r dudalen hon yn wag yn fwriadol

INTERNAL AUDIT PLAN 2022/23											
2022/23		Plan Completion to Date:		76.0%							
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
	<b>Fundamentals</b>										
1122001	Capital Accounting including Fixed Asset Register	20	*	*	*						
1122002	Cash & Bank	15	*	*	*	*	*	*	15		Acceptable
1122003	Creditor Payments	30	*	*	*						
1122004	Debtors System	20	*	*	*	*					
1122005	Housing Benefits	20	*	*	*	*	*	*	22		High
1122006	Payroll System	30	*	*	*						
1122007	Pensions Payroll System	20	*	*	*	*	*	*	18		High
1122008	VAT	15	*	*	*	*	*	*	17		Acceptable
	<b>Corporate Governance Assurance</b>										
2122001	Corporate Governance Arrangements	20	*	*	*						
2122002	Regulatory Recommendations	10									
2122003	Data Protection	20	/	/	/	/	/	/	0		DEFERRED
2122004	Welsh Language Standards	20	*	*	*						
2122005	Freedom of Information	20	*	*	*	*					
2122006	Risk Management Arrangements	10	*	*	*	*	*				
	<b>COVID-19</b>										
3122001	COVID-19 Duplication Checks and Payments	40	*	/	*						
3122002	COVID-19 Systems and Processes	20	*	/	*						
3122003	COVID-19 Working Groups	10	*	/	*						
	<b>Corporate Review Work</b>										
4122001	CCC Companies	30									
4122002	Contract Management	20	*	*	*						
4122003	Procurement	20	*	*	*	*	*	*	22		Acceptable
4122004	Safeguarding - Adults	10	*	*	*	*					
4122005	Safeguarding - Children	10	*	*	*	*					
4122006	Staffing Matters	20	*	*	*	*	*	*	20		Acceptable
	<b>Counter Fraud</b>										
5122001	Fraud Prevention, Detection and Investigation	40	*	/	*						
5122002	Proactive Fraud Testing	20	*	/	*						
	<b>Grants &amp; Certification</b>										
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	*	/	*	*	/	*	23		Certification
6122010	Other Grants (where assurance is required for sign-off)	20	/	/	/	/	/	/	0		No further Grants
6122011	Wales Pension Partnership	5	*	/	*	*	/	*	4		Accounts Return
6122012	Post 16 Grant	10	*	/	*	*	/	*	8		Certification
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	*	*	*	*	/	*	10		Certification
6122019	Regional Development Coordinator Grant	5	*	/	*	*	/	*	3		Certification
	<b>Chief Executive's Department (not incl IT)</b>										
7122001	Departmental Income	15	*	*	*						
7122002	Local Government & Elections Act	10									
7122003	Net Zero Carbon	20	/	/	/	/	/	/	0		DEFERRED
7122004	Regeneration & Economic Development: CRF	10	*	/	*						
7122005	Regeneration & Economic Development	10	*								
7122006	PMP: Workforce Planning	20	/	/	/	/	/	/	0		DEFERRED
	<b>Chief Executive's Department: IT</b>										
7222001	Cyber Security	15	*								
7222002	Disaster Recovery and Business Continuity	15	*	*	*	*	*				
	<b>Communities</b>										
7322001	Departmental Income	15	*	*	*	*	*	*	18		Acceptable
7322002	Disabled Facilities Grants (DFGs)	15	*	*	*	*	*	*	16		Acceptable
7322003	Disrepair Claims	15	*	*	*	*	*	*	11		Acceptable
7322004	Leisure: Health, Fitness & Dryside portfolio	20	*	*	*	*	*				
7322005	Adult Social Care Complaints Process	20	*	*	*						
	<b>Corporate Services</b>										
7422001	Departmental Income	15	*	*	*						
7422002	Corporate Credit Card	15	*	*	*	*	*				
	<b>Education &amp; Children</b>										
7522001	Departmental Income	15	*	*	*	*	*				
7522002	Youth Support Service Pre-paid Cards	15	*	*	*						
7522003	Schools Expenditure	30	*	*	*	*	*				
7522004	Schools (incl School Questionnaires)	20	*	*	*	*	*	*	29		Assurance
7522004	School Visits 1	10	*	*	*	*	*				
7522004	School Visits 2	10	*	*	*	*	*				
7522005	Welfare Cards	10	*	*	*						
	<b>Place &amp; Infrastructure</b>										

7622001	Departmental Income	15	*	*	*	*	*	*	16		High
7622002	Fleet Management	10	*	*	*	*	*				
7622003	Waste	15	*	*	*						
7622004	Planning: Minerals & Waste	20	*	*	*	*	*	*	18		High
7622005	Schools Handy Van Service	10	*	*	*						
7622005	Property - Consultancy	5	*	*	*	*					
7622006	Asset Management	15	*	*	*	*	*				
	<b>Additonal</b>										
8122001	Departmental Advisory Work	40	*	/	*						
8222001	Various Departmental Working Groups	40	*	/	*						

Mae'r dudalen hon yn wag yn fwriadol



DEPARTMENT	AUDIT REVIEW	FINAL REPORT ISSUED
<b>Corporate Services</b>	<b>Cash &amp; Bank</b>	<b>12<sup>th</sup> January 2023</b>

**BACKGROUND**

The Cash Receipting system handles income paid in at the Authority's cash desks and processes all income centrally as a means of updating the Authority's financial systems. The Authority operates three Cash Desks which are based at Carmarthen, Llanelli, and Ammanford.

For the year April 2021 to March 2022, the Authority's Cash Desks processed 396,400 transactions to a net income value of £1.632 billion.

**SCOPE**

A review was undertaken of the procedures relating to the Cash Receipting system ensuring that income is secure, banked promptly and completely and accurately recorded. To ensure that the Cash Receipting system is adequately controlled and complies with Financial Procedure Rules.

**SUMMARY OF RECOMMENDATIONS**

The audit findings and recommendations are detailed in the attached Action Plan. A summary of these recommendations by priority is outlined below:

Priority	3*	2*	1*	Total
<b>Number of Recommendations</b>	<b>0</b>	<b>3</b>	<b>0</b>	<b>3</b>

**ASSURANCE RATING**

The post review assurance level for systems relating to Cash & Bank is categorised as: **ACCEPTABLE.**

## Internal Audit review – Cash &amp; Bank 2022/23

## Action Plan

Ref	Summary of Issue Identified	Recommendation	Priority Level	Planned Action Responsible Officer / Target Date	Updated Position
1	<p>The Guidance Notes to Cashiers document requires updating, to reflect changes to arrangements.</p> <p>Not all relevant processes are adequately covered by the current documented procedures, namely:</p> <ul style="list-style-type: none"> <li>- Restricting access to security codes, keys, and entry fobs (including spares).</li> <li>- The process for clearing unidentified remittances from the suspense account.</li> <li>- Responsibility for unmatched e-returns.</li> <li>- Maximum cash holding limits.</li> </ul>	Current procedure guidance should be reviewed and updated to ensure current processes are accurately reflected.	**	<p>Guidance procedure has been updated.</p> <p>Revised guidance has been circulated to staff.</p> <p>Revised guidance has been submitted to the Internal Audit team.</p> <p>Team Leader Cashiers. Complete.</p>	Complete.
2	Security Arrangements: A spare key fob for a drawer, held by Customer Services staff, could not be located upon request; the key fob was later found.	Arrangements should be reviewed, with appropriate measures taken to ensure security of staff and cash. Security arrangements should be periodically assessed.	**	<p>Security arrangements have been reviewed, with a revised security measure now put in place in relation to the spare fob.</p> <p>Periodic security checks will be undertaken at the point of each unannounced cash up.</p> <p>Team Leader Cashiers. Complete.</p>	Complete.
3	Financial Procedure Rules (FPR) 4.4 states that "Managers responsible for	Unannounced cash ups should be undertaken quarterly, with evidence	**	Cash ups are undertaken at the end of each day and checked by the	In line with Financial Procedure rules, quarterly unannounced cash-ups will

## Internal Audit Update: Report B

Ref	Summary of Issue Identified	Recommendation	Priority Level	Planned Action Responsible Officer / Target Date	Updated Position
	<p>the supervision of staff who operate cash tills are required to carry out periodic unannounced cash ups of the tills concerned. At least one cash up should be performed on each operator in each financial year. Due to the higher volume and value of transactions, main cash offices should be subject to more frequent and random, unannounced cash-ups at least quarterly”.</p> <p>Currently, unannounced cash ups are conducted annually.</p>	retained to confirm details, in compliance with the Financial Procedure Rules.		<p>supervisor, so any discrepancies are immediately identified. Unannounced cash ups will be undertaken quarterly.</p> <p>Team Leader Cashiers. 31<sup>st</sup> March 2023.</p>	<p>be undertaken as required, with each cashier being subject to an unannounced cash up by the end of the last quarter of 22/23.</p> <p>In addition to this control, all cashiers undertake a cash-up at the end of each day, with their cash and cash-up reports checked daily by a supervisor.</p>

Mae'r dudalen hon yn wag yn fwiadol

DEPARTMENT	AUDIT REVIEW	FINAL REPORT ISSUED
<b>Corporate Services</b>	<b>Housing Benefits</b>	<b>23<sup>rd</sup> January 2023</b>

**BACKGROUND**

The Housing Benefit section within the Corporate Services Department calculates the amount of benefits and reductions which may be awarded to households on low income to help with the cost of paying rent and Council Tax.

During 2021/22 the Authority paid out approximately £37.5m with an approximate case load of 15,526 Council Tax Reduction Scheme (CTRS) claims and 7,627 Housing Benefit (HB) claims. CTRS expenditure for 2021/22 was approximately £17m.

**SCOPE**

The objective of the review was to ensure that there are adequate procedures and controls in place to administer the Housing Benefit and Council Tax Reduction schemes in accordance with relevant legislation and policy and safeguard the Authority against fraudulent claims.

A review was undertaken of the Housing Benefit system relating to procedures and controls in place in the following areas:

- Documented procedures are in place and are complied with.
- Adequate documentation is maintained to support claims.
- Accuracy of payments.

**SUMMARY OF RECOMMENDATIONS**

No audit findings were identified during this review, with no recommendations, therefore, being made.

Priority	3*	2*	1*	Total
<b>Number of Recommendations</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

**ASSURANCE RATING**

The post review assurance level for systems relating to Housing Benefits is categorised as: **HIGH.**

Mae'r dudalen hon yn wag yn fwriadol

DEPARTMENT	AUDIT REVIEW	FINAL REPORT ISSUED
<b>Corporate Services</b>	<b>Value Added Tax (VAT)</b>	<b>7<sup>th</sup> February 2023</b>

**BACKGROUND**

Value Added Tax (VAT) is a tax that is charged on most goods and services that VAT-registered businesses provide in the UK. When VAT-registered businesses buy goods or services they can generally reclaim the VAT they have paid.

The Council is required by law to make periodic VAT returns to His Majesty's Revenue and Customs (HMRC). VAT returns are compiled by staff from the Accountancy Section, from data contained in the Council's financial management system, and are submitted to HMRC electronically on a monthly basis.

The Authority submits monthly claims to HMRC to recover VAT to an average value of approximately £2.0m.

**SCOPE**

The objective of the review was to ensure that VAT is completely and accurately recorded in the accounting records and all claims to recover VAT have been made promptly and accurately.

The scope of the Audit was to ensure that:

- Recommendations in the previous Internal Audit report have been actioned,
- Adequate guidance / documented procedures exist,
- Appropriate controls and procedures are established to ensure compliance with legislation and HMRC requirements.

**SUMMARY OF RECOMMENDATIONS**

The audit findings and recommendations are detailed in the attached Action Plan.

A summary of these recommendations by priority is outlined below:

Priority	3*	2*	1*	Total
<b>Number of Recommendations</b>	<b>0</b>	<b>1</b>	<b>1</b>	<b>2</b>

**ASSURANCE RATING**

The post review assurance level for systems relating to VAT is categorised as: **ACCEPTABLE.**

## Internal Audit review – VAT 2022/23

## Action Plan

Ref	Summary of Issue Identified	Recommendation	Priority Level	Planned Action Responsible Officer(s) / Target Date	Updated Position
1	Guidance notes to provide basic VAT advice has not been drafted or distributed to any Authority staff members.	An office guidance note should be formulated for staff of the Authority as a basic reference document, and this should be issued to all relevant staff.	**	A VAT Guidance document is in the process of being drafted which will act as a basic reference document and will also contain key contacts/information for any further VAT queries.  Corporate Finance Manager and VAT & Deputyships Manager  31 <sup>st</sup> December 2023	Guidance note is in the process of being prepared.
2	The review of the 'opted to tax properties' identified that not all properties were included on the register of the opted to tax properties. Two properties were not on the opted to tax register and no documentation was found in relation to opting to tax these properties, however VAT was being charged in relation to these properties.	Consideration should be given to undertaking a review of all property owned by the Authority to confirm how they are treated for VAT 'opted to tax properties' purposes and what notifications have been sent to HMRC.	*	'Belated Option Requests' for both identified properties have since been submitted to HMRC. A review of properties rental income where VAT is being charged will be undertaken and compared to the 'master' Option to Tax list held on file.  Corporate Finance Manager and VAT & Deputyships Manager  30 <sup>th</sup> April 2023	Awaiting response from HMRC re belated options. A review of rental income is in the process of being carried out and compared to the 'master' Option to Tax list.



## Pwyllgor Llywodraethu ac Archwilio 17 Mawrth 2023

ARGYMHELLION ARCHWILIAD MEWNOL		
<b>Yr Argymhellion / Penderfyniadau Allweddol Sydd Eu Hangen:</b> I dderbyn yr adroddiad.		
<b>Y Rhesymau:</b> Cyflwynir adroddiad cynnydd yn rheolaidd i'r Pwyllgor Archwilio yn flynyddol.		
<b>Ymgynghorwyd â'r pwyllgor craffu perthnasol: NADDO</b>		
<b>Angen i'r Cabinet wneud penderfyniad: NAC OES</b> <b>Angen i'r Cyngor wneud penderfyniad: NAC OES</b>		
<b>YR AELOD O'R CABINET SY'N GYFRIFOL AM Y PORTFFOLIO:</b> Cyng. Alun Lenny		
<b>Y Gyfarwyddiaeth:</b> Gwasanathau Corfforaethol		
<b>Enw Pennaeth y Gwasanaeth:</b> Helen Pugh	<b>Swyddi:</b> Pennaeth Refeniw a Chydymffurfio Ariannol	<b>Rhif ffôn:</b> 01267 246223  <b>Cyfeiriad e-bost:</b> <a href="mailto:HLPugh@sirgar.gov.uk">HLPugh@sirgar.gov.uk</a>  <a href="mailto:CaPowell@sirgar.gov.uk">CaPowell@sirgar.gov.uk</a>
<b>Awdur yr Adroddiad:</b> Caroline Powell	Prif Archwilydd	

**Executive Summary**  
**Governance & Audit Committee**  
**17 March 2023**

**Internal Audit Recommendations**

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

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

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

The information in the attached report details the progress status of Internal Audit recommendations relating to the 2021/22 financial year.

**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
<b>NONE</b>	<b>NONE</b>	<b>YES</b>	<b>NONE</b>	<b>NONE</b>	<b>NONE</b>	<b>NONE</b>

### 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	<a href="#">Agenda for Governance &amp; Audit Committee on Friday, 11th March, 2022, 10.00 am</a>

Mae'r dudalen hon yn wag yn fwriadol

## Update on Internal Audit Recommendations 2021/22

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

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

The information below details the progress status of Internal Audit recommendations relating to the 2021/22 financial year.

### Update on 2021/22 Internal Audit Recommendations

Recommendation Ratings	Total Recommendations Made	Action Complete	Action Outstanding or Off-Target	Target date not yet reached	% Complete per Recommendation Rating
3*	3	3	0	0	100%
2*	80	75	4	1	94%
1*	36	32	1	3	89%
	<b>119</b>	<b>110</b>	<b>5</b>	<b>4</b>	
		92%	4.5%	3.5%	

Information relating to all outstanding, or off-target, recommendations is detailed on the following pages.

## ACTION OFF TARGET

Report Reference: 1121004 Payroll

Action Status: Off Target

Action Target Date: 31.05.2022

Recommendation Rating: \*\*

### Brief Description of Issue/Recommendation:

#### Employee Certification Exercise

Completion of the 2021/22 Employee Certification Exercise had not been completed. Where the Certification Exercise had been issued to Managers, only 3 Managers (from 20) had responded to the request.

The Employee Certification Exercise is an important internal control; adequate resources should be made available to ensure it is completed annually.

### Agreed Action:

Staffing issues will hopefully have improved in time for the 2022-23 exercise.

E-mail to be sent to all Managers from the Director of Corporate Services prior to the exercise being undertaken, explaining that the exercise is due to be carried out and the importance of completing the information promptly.

Where non-compliance continues, this will be escalated to the relevant DMT and CMT, where appropriate.

### Current Position:

E-mail was issued to all Managers from the Director of Corporate Services, emphasising the importance of completing the exercise.

The 2022-23 certification exercise has been commenced, but responses have only been received from approximately 25% of Managers, to date.

## ACTION OFF TARGET – WITH REVISED TARGET DATE SET

Report Reference:	1121001 Creditor Payments
Action Status:	Off Target – with revised Target Date set
Action Target Date:	31.08.2022 (Revised Target Date: 31.03.2023)
Recommendation Rating:	*
Brief Description of Issue/Recommendation:	
Credit Balances	
A review of credit balances should be completed, and appropriate action taken to reduce the volume held on the system and to address all historic balances.	
Agreed Action:	
Credits applied in-year are investigated promptly. Investigation into the 21 credit balances remaining after initial examination will be made and, where possible, reversed.	
Current Position:	
All in-year credits are promptly dealt with; there are no new outstanding credit balances.	
A way forward on dealing with historic credit balances has been agreed with the Head of Financial Services; the relevant service areas are being contacted to provide a financial code for the impact of reversing the open items.	
95% of the remaining credits have already been processed.	

Report Reference:	1121001 Creditor Payments
Action Status:	Off Target – with revised Target Date set
Action Target Date:	01.07.2022 (Revised Target Date: 31.03.2024)
Recommendation Rating:	**
Brief Description of Issue/Recommendation:	
Purchase Orders (POs)	
Staff should be reminded of the importance of raising Purchase Orders and ensuring full compliance with the Authority's Financial Procedure Rules. The 'Achieving Purchase Order Compliance' Policy should be implemented as soon as possible.	
Agreed Action:	
PO compliance reports are sent to all BSU Managers on a quarterly basis.	
'Achieving Purchase Order Compliance' is to be piloted in the Chief Executives Department after exceptions have been identified; target date for commencement and progression is 1st July 2022.	
Current Position:	
Progress on implementing 'Achieving Purchase Order Compliance' is continuing, albeit slower than anticipated, due to resource issues in the main. Pilots are continuing in the Chief Executive's Department and are planned to commence in the Department for Education & Children's Services.	

Report Reference:	2121002 Performance Management
Action Status:	Off Target – with revised Target Date set
Action Target Date:	30.09.2022 (Revised Target Date: 31.03.2023)
Recommendation Rating:	**
Brief Description of Issue/Recommendation:	
Regulatory Recommendations	
All regulatory recommendations should be captured in order to appropriately monitor the action being taken to address the concerns.	
Agreed Action:	
A procedure for managing all regulatory report recommendations is currently being drafted. This will be completed and introduced by the end of September 2022.	
Current Position:	
Draft Procedure has been developed, with the approach discussed and agreed with the Governance & Audit Committee and key officers. Procedure now needs to be finalised and communicated across the Authority.	

Report Reference:	6121028 Trust Funds - Dyfed Welsh Church Fund
Action Status:	Off Target – with revised Target Date set
Action Target Date:	30.09.2022 (Revised Target Date: 31.03.2023)
Recommendation Rating:	**
Brief Description of Issue/Recommendation:	
Dyfed Welsh Church Fund - Property	
A decision on the rental value, or possible sale, of a property owned by the Dyfed Welsh Church Fund continues to remain unresolved.	
Agreed Action:	
Legal correspondence on the purchase of the property is ongoing between the three authorities. Matter will be referred to the Charity Commission during the next three months.	
Current Position:	
Discussions are still ongoing between the Directors of Finance and the legal teams of Carmarthenshire, Ceredigion, and Pembrokeshire.	



## Pwyllgor Llywodraethu ac Archwilio 17 Mawrth 2023

<b>CYNLLUN ARCHWILIAD MEWNOL BLYNYDDOL 2023/24 &amp; BWRIEDIR EI GYNNWYS YN 2023-26</b>		
<b>Yr Argymhellion / Penderfyniadau Allweddol Sydd Eu Hangen:</b> I gymeradwyo'r Cynllun Archwiliad Mewnol Blynyddol ar gyfer 2023/24 ac i gadarnhau'r hyn y bwriedir ei gynnwys yn 2023-26.		
<b>Y Rhesymau:</b> Mae Safonau Archwilio Mewnol y Sector Cyhoeddus (PSIAS) yn ei gwneud yn ofynnol i Gynllun Archwilio Mewnol ar sail risg gael ei baratoi bob blwyddyn i bennu blaenoriaethau Archwilio Mewnol a sicrhau eu bod yn gyson â nodau ac amcanion y Cyngor.		
<b>Ymgynghorwyd â'r pwyllgor craffu perthnasol: NADDO</b>		
<b>Angen i'r Cabinet wneud penderfyniad: NAC OES</b> <b>Angen i'r Cyngor wneud penderfyniad: NAC OES</b>		
<b>YR AELOD O'R CABINET SY'N GYFRIFOL AM Y PORTFFOLIO:</b> Cyng. Alun Lenny		
<b>Y Gyfarwyddiaeth:</b> Gwasanathau Corfforaethol		
<b>Enw Pennaeth y Gwasanaeth:</b> Helen Pugh	<b>Swyddi:</b> Pennaeth Refeniw a Chydymffurfio Ariannol	<b>Rhif ffôn:</b> 01267 246223  <b>Cyfeiriad e-bost:</b> <a href="mailto:HLPugh@sirgar.gov.uk">HLPugh@sirgar.gov.uk</a>
<b>Awdur yr Adroddiad:</b> Helen Pugh		

**Executive Summary  
Governance & Audit Committee  
17 March 2023**

**Internal Audit Plan 2023/24 & Planned Coverage for 2023-26**

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

The Internal Audit Plan for 2023/24 has been compiled considering the Authority's Corporate Risk Register and Service Risk Registers, thus ensuring appropriate coverage and consideration of the Authority's highest risks. In addition to this, Internal Audit has liaised with the Corporate Management Team and Heads of Service in devising the plan and also taken account of any changes in services.

The Plan assumes full staffing within the section.

The Internal Audit Plan includes coverage of:

- Fundamental Audits
- Corporate Review Work
- Corporate Governance Assurance
- Duplication Checks
- Counter Fraud
- Grants and Certification
- Departmental Reviews

The following reports are attached:

Internal Audit Plan 2023/24

Internal Audit Planned Coverage 2023 - 2026

**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
<b>NONE</b>	<b>NONE</b>	<b>YES</b>	<b>NONE</b>	<b>YES</b>	<b>NONE</b>	<b>NONE</b>

### Finance

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

### Risk Management

The Internal Audit Plan for 2023/24 has been compiled considering the Authority's Corporate Risk Register and Service Risk Registers.

## CONSULTATIONS

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

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

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

**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
Strategic Audit Plan 2022-2025	AC 11-03-22	<a href="#">Agenda for Governance &amp; Audit Committee on Friday, 11th March, 2022, 10.00 am</a>

Mae'r dudalen hon yn wag yn fwriadol

Required Assurance - Fundamental Audits	Type of Engagement	Risk Consideration	Audit Plan Days
Budget Setting and Monitoring	Assurance	Fundamental	15
Council Tax	Assurance	Fundamental	20
Creditor Payments	Assurance	Fundamental	30
Deputyships	Assurance	Fundamental	20
Main Accounting	Assurance	Fundamental	20
Payroll System	Assurance	Fundamental	30
Petty Cash / Sundry Expenses	Assurance	Fundamental	15
Treasury Management - Loans & Investments	Assurance	Fundamental	15
<b>Total</b>			<b>165</b>

Corporate Review Work	Type of Engagement	Risk Consideration	Audit Plan Days
CCC Companies Governance	Assurance	Corporate Risk Register	20
Contract Management	Assurance	Corporate Risk Register	20
Procurement	Assurance	Corporate Risk Register	20
Safeguarding	Assurance	Corporate Risk Register	20
Staffing Matters	Assurance	Corporate Risk Register	20
<b>Total</b>			<b>100</b>

Corporate Governance Assurance	Type of Engagement	Risk Consideration	Audit Plan Days
Corporate Governance Arrangements	Assurance	Corporate Risk Register	20
Data Protection	Assurance	Service Risk Register	20
Declaration of Interests	Assurance	Corporate Risk Register	20
Corporate Strategy/Policy Making	Assurance	Corporate Risk Register	20
Wellbeing of Future Generations Act	Assurance	Corporate Risk Register	20
<b>Total</b>			<b>100</b>

Duplication Checks	Type of Engagement	Risk Consideration	Audit Plan Days
Assistance Payments Duplication Checks	Assurance	Corporate Risk Register	40
<b>Total</b>			<b>40</b>

Counter Fraud	Type of Engagement	Risk Consideration	Audit Plan Days
Fraud Prevention, Detection and Investigation	Investigatory	Corporate Risk Register	40
Proactive Fraud Testing	Assurance	Corporate Risk Register	20
National Fraud Initiative	Investigatory/Assurance	Corporate Risk Register	20
<b>Total</b>			<b>80</b>

Grants and Certification	Type of Engagement	Risk Consideration	Audit Plan Days
Burry Port Harbour	Accounts Return	Certification	10
Children & Communities Grant	Certification	Corporate Risk Register	25
Education Improvement Grant	Certification	Corporate Risk Register	30
Enable Grant	Certification	Corporate Risk Register	10
Housing Support Grant	Certification	Corporate Risk Register	40
Local Authority Education Grant	Assurance for Sign Off	Corporate Risk Register	20
Other Grants (where assurance is required for sign-off)	Assurance for Sign Off	Corporate Risk Register	20
Wales Pension Partnership	Accounts Return	Certification	5
Post 16 Grant	Certification	Corporate Risk Register	10
Pupil Development Grant	Certification	Corporate Risk Register	30
Youth Justice Grant 2022-23	Certification	Corporate Risk Register	15
Trust Funds	Certification	Certification	20
<b>Total</b>			<b>235</b>

Departmental Reviews	Type of Engagement	Risk Consideration	Audit Plan Days
<b>Chief Executive's Department (not including IT)</b>			
Levelling Up Fund: Debenhams HWBS and Tywi Cycle Path	Assurance	Corporate Risk Register	20
Communications: Social Media	Assurance	IA identified	10
Carmarthen Mart	Assurance	IA identified	10
Legal Charges	Assurance	IA identified	15
<b>Chief Executive's Department: IT</b>			
IT Systems	Assurance	CMT identified	20
IT Disaster Recovery	Assurance	Corporate Risk Register	15
Active Directory	Assurance	IA identified	15
Cloud	Assurance	Service Risk Register	10
<b>Communities</b>			
Pembrey Country Park	Assurance	Service Risk Register	20
New Pendine Facilities: Hotel and Museum	Assurance	IA identified	20
Leisure Centres	Assurance	Service Risk Register	20
Voids - Follow Up	Assurance	Corporate Risk Register	10
Supported Living	Assurance	Service Risk Register	15
Care Homes	Assurance	Service Risk Register	20
<b>Corporate Services</b>			
Community Benefits	Assurance	Service Risk Register	15
Dyfed Pension Fund - Governance & Investments	Assurance	Service Risk Register	15
<b>Education &amp; Children's Services</b>			
Children's Services: Carers, including Young Carers	Assurance	Service Risk Register	15
School Meals Allergens - Follow Up	Assurance	IA identified	10
School Questionnaires	Assurance	Corporate Risk Register	20
School Visit 1	Assurance	Corporate Risk Register	10
School Visit 2	Assurance	Corporate Risk Register	10
ParentPay	Assurance	Department identified	15
Pupil Referral Units	Assurance	IA identified	15
<b>Place &amp; Infrastructure</b>			
Car Parking	Assurance	Department identified	15
Place & Sustainability	Assurance	Corporate Risk Register	15
Council Buildings (School & Non-School)	Assurance	Corporate Risk Register	20
Highways	Assurance	Corporate Risk Register	15
Waste	Assurance	Corporate Risk Register	15
Property	Assurance	Corporate Risk Register	15
<b>Total</b>			<b>440</b>
<b>TOTAL DAYS</b>			<b>1160</b>
<b>Additional Work</b>			<b>Days</b>
Departmental Advisory Work			50
Various Departmental Working Groups			30
<b>Total</b>			<b>80</b>
<b>TOTAL DAYS</b>			<b>1240</b>

Carmarthenshire County Council - Internal Audit 3 Year Plan 2023/24			
	2023/24	2024/25	2025/26
<b>Required Assurance - Fundamental Audits</b>			
Budget Setting and Monitoring	✓		
Capital Accounting including Fixed Asset Register			✓
Cash & Bank			✓
Council Tax	✓		
Creditor Payments	✓	✓	✓
Debtors System			✓
Deputyships	✓		
Expenditure		✓	
Housing Benefits			✓
Income			✓
Main Accounting	✓		
NNDR		✓	
Payroll System	✓	✓	✓
Pensions Payroll System			✓
Petty Cash / Sundry Expenses	✓		
Travel & Subsistence System		✓	
Treasury Management - Loans & Investments (CCC and DPF)	✓		
VAT			✓
<b>Corporate Governance Assurance</b>			
Corporate Governance Arrangements	✓	✓	✓
Corporate Strategy/Policy Making	✓		
Data Protection	✓		
Declaration of Interests	✓		
Ethics		✓	
Freedom of Information			✓
Performance Management		✓	
Risk Management Arrangements			✓
Wellbeing of Future Generations Act	✓		
Welsh Language Standards			✓
Whistleblowing		✓	
<b>Duplication Checks</b>			
Assistance Payments Duplication Checks	✓		

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



**Pwyllgor Llywodraethu ac Archwilio**  
**17 Mawrth 2023**

**ADRODDIAD BLYNYDDOL CWYNION 2021-22**

Y Pwrpas: I ddarparu manylion am y broses gwynion corfforaethol a'r data ar gwynion / canmoliaeth a dderbyniwyd yn ystod 2021-22.

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

1. Derbyn yr Adroddiad Blynyddol Cwynion 2021-22

**Y Rhesymau:**

I ddarparu adroddiad blynyddol sy'n crynhoi'r Ganmoliaeth a'r Cwynion a dderbyniwyd gan y Cyngor ac i adrodd i'r Pwyllgor Llywodraethu ac Archwilio o ran llywodraethu'r broses.

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. Philip Hughes, Aelod Cabinet dros Drefniadaeth a Gweithlu

**Y Gyfarwyddiaeth:**

Prif Weithredwr

**Enw Pennaeth y Gwasanaeth:**

Noelwyn Daniel

**Awdur yr Adroddiad:**

Llinos Evans

**Swyddi:**

Pennaeth TGCh a Pholisi  
 Corfforaethol

Rheolwr Polisi a Chyfranogiad

**Rhifau ffôn:**

**Cyfeiriadau E-bost:**

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

**EXECUTIVE SUMMARY**  
**Governance and Audit Committee**  
**17 March 2023**

## **Complaints Annual Report 2021-22**

The report sets out:

- The numbers of Stage 1 and Stage 2 complaints investigated and responded to between April 2021 and March 2022 by department.
- Statistics on communications received by the Complaints Team and redirected. These are enquiries and requests for assistance from members of the public.
- The numbers of compliments received during the reporting period by department
- Complaints determined by the Ombudsman.

The complaints referred to within this report are those where the investigation has been completed during the review period.

All complaints relating to Adult Social Care matters are managed by the Performance, Analyst & Systems Team within the Communities Department. The data is included in this report and also in the Annual Report on the Effectiveness of Social Care Services 2021 – 22.

**DETAILED REPORT ATTACHED?**

**YES**

**Complaints Annual Report 2021-22**

# 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 IT & Policy

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

## 1. Policy, Crime & Disorder and Equalities

Carmarthenshire County Council's Corporate Complaints Policy has been developed and published in line with the Complaints Standards Authority – Wales, "Concerns and Complaints Policy for Public Services Providers in Wales".

The Social Services Complaints Procedure (Wales) Regulations 2014 outline the procedure for handling complaints about Social Services issues in Wales.

The Local Government and Elections (Wales) Act 2021 requires the Governance and Audit Committee to:

- (a) review and assess the authority's ability to handle complaints effectively,
- (b) make reports and recommendations in relation to the authority's ability to handle complaints effectively.

## 2. Legal

The Administration and Law Division lead on the work with the Public Services Ombudsman for Wales and deal with any issues arising from complaints referred to the Ombudsman.

# 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

(Please specify the outcomes of consultations undertaken where they arise against the following headings)

1. Scrutiny Committee request for pre-determination	No
If yes include the following information: -	
Scrutiny Committee	
Date the report was considered:-	
Scrutiny Committee Outcome/Recommendations: -	

2. Local Member(s) No

3. Community / Town Council No

4. Relevant Partners No

5. Staff Side Representatives and other Organisations No

CABINET MEMBER PORTFOLIO  
HOLDER(S) AWARE/CONSULTED  
YES

Include any observations here

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

THERE ARE NONE

# Council Complaints Policy Annual Report

2021-22

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

## **Foreword**

This is our Corporate Complaints Annual Report for 2021-22, a document that details the complaints and compliments received by the Council during the financial year.

2021-22 has brought new challenges, new ways of working and communicating as well as re-emphasising the importance of using feedback from our customers and residents in a constructive and meaningful way. During the COVID-19 pandemic, we have seen an increase in the number of complaints and often a change in the complexity of those complaints, as residents present with more detailed, cross-departmental issues.

Our Corporate Complaints Team have continued to provide regular data to the Ombudsman's Complaints Standards Authority to identify trends and patterns in public service delivery.

Our Adult Social Service Complaints process is governed by the Social Services (Complaints Procedure) (Wales) Regulations 2014 (the regulations) and Welsh Government's 'A guide to handling complaints and representations by local authority social services' and is managed by the Council's Communities Department.

I would like to close by taking this opportunity to thank our staff who work to support the Corporate Complaints and Adult Social Care Complaints process across the Council and for the service they provide every day to the residents of Carmarthenshire.

**Councillor Philip Hughes**

**Cabinet Member for Organisation and Workforce**

## 1. Principles

Carmarthenshire County Council's Corporate Complaints Policy has been developed and published in line with the Complaints Standards Authority – Wales, "Concerns and Complaints Policy for Public Services Providers in Wales".

The Social Services Complaints Procedure (Wales) Regulations 2014 outline the procedure for handling complaints about Social Services issues in Wales. This annual report includes information in relation to complaints received as part of this procedure.

The Policy aims to emphasise the following principles:

- To ensure that as many complaints as possible are resolved at **Stage 1**, as a local resolution
- To ensure that investigations follow the '**Investigate Once, Investigate Well**' principle

## 2. Definition of a complaint

The definition of a complaint is an expression of dissatisfaction or concern,

- About a public service provider's action or lack of action
- Or about the standard of service provided
- Which requires a response
- Whether about the public service provider itself, a person acting on its behalf, or a public service provider partnership.

The complaints referred to within this report are those where the investigation has been completed during the review period.

**Our annual report will also include any complaints investigated under the Welsh Language Measure (Wales) 2011 by the Welsh Language Commissioner and their office.**

**During 2021-22, no investigations of non-compliance under the Welsh Language Standards were undertaken.**



### **3. Setting the context for 2021-22**

The 2021-22 period has seen a number of significant changes and developments for the Corporate Complaints Team in terms of ways of working and particularly how we use data and information.

During the year, one of the Corporate Complaints Officers was redeployed as part of the Council's COVID-19 response to support the Registrars Team 3-days per week and continuing with the complaints role for the other 2-days per week. This redeployment ended in September 2021 but for the period April-September 2021 (and prior to that at the start of the COVID-19 pandemic) the Corporate Complaints team worked at a reduced staffing capacity.

During this period we have also undertaken a realignment of the Corporate Complaints Team, which now form part of the Policy and Involvement Team. This was implemented in October 2021 with a view to strengthening resilience within the team and to further develop the use of data and information from complaints as part of performance monitoring and service development. The team will also focus on providing support, guidance and advice across the Council on key policy and legislative areas.

Sharing of management information has been one of the key developments during the year, with the team preparing monthly reports for our Corporate Management Team (CMT) and Heads of Service, to ensure that services consider any complaints and compliments as part of their planning and delivery. This detailed information also helps us identify any barriers or trends and to ensure that our residents receive timely responses and communication. This new arrangement was introduced in January 2022.

The Performance Dashboard and Performance Observations Report, presented to Corporate Management Team on a quarterly basis, now includes key information on complaints alongside service performance information, in order for the Chief Executive and Directors to discuss any barriers to compliance and any issues relating to specific services. This enables any issues of concern to be escalated and dealt with in a timely manner.

We have also developed a corporate performance measure, which is included in the Information Technology and Corporate Policy Division's business plan. On a quarterly basis, we report on the number of complaints completed within statutory deadline, with this result being reported to Scrutiny through the performance management framework.

During 2022-23, our aim is to continue to develop the role of the team in supporting departments with service improvement information and analysis of data and key trends.

#### 4. Stage 1 Complaints received and responded to

	Stage 1 Complaints	Stage 1 Upheld	Stage 1 Not Upheld	Stage 1 outcome not recorded
<b>Communities *</b> (Includes Adult Social Care)	144	40	104	37*
<b>Education &amp; Children's Services</b>	31	9	22	
<b>Environment **</b>	610	316	294	
<b>Chief Executive's</b>	55	31	24	
<b>Resources</b>	37	12	25	
<b>Cross departmental</b>	8	3	5	
<b>TOTAL</b>	<b>885</b>	<b>411</b>	<b>474</b>	<b>35</b>

\* NOTE: Outcomes not recorded for Statutory Stage 1 Complaints as per Social Care Complaints guidance

\*\* NOTE: These numbers include complaints relating to Property Services for the year although Property Services moved over to Communities Department following service re-alignment in October 2021.

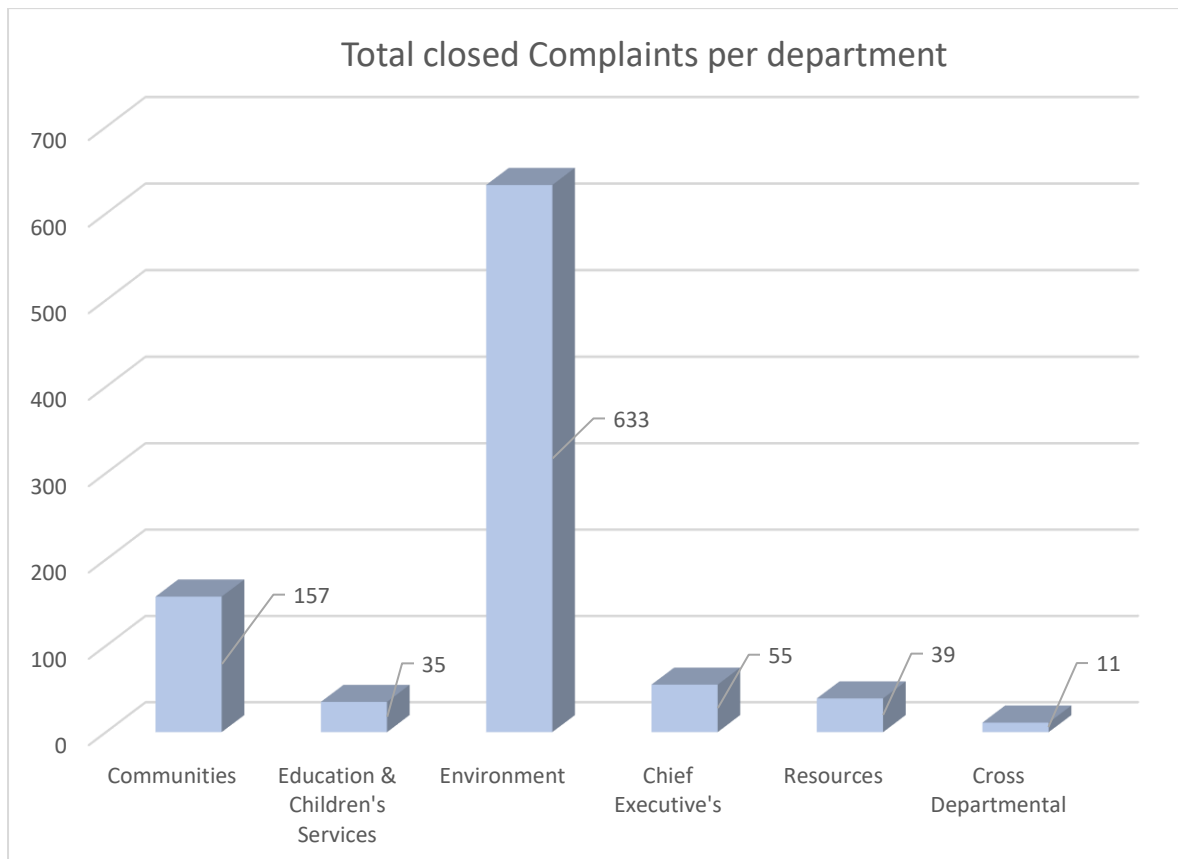
#### Adult Social Care complaints and compliments 2021-22

A total of 46 complaints were recorded at either Stage 1 or 2 in relation to Adult Social Care. This data provides a positive picture of the Communities Department's performance in the context of 4,190 individuals that received a social care service from Carmarthenshire County Council during this period.

This means that only 1% of individuals formally complained about the service they received.

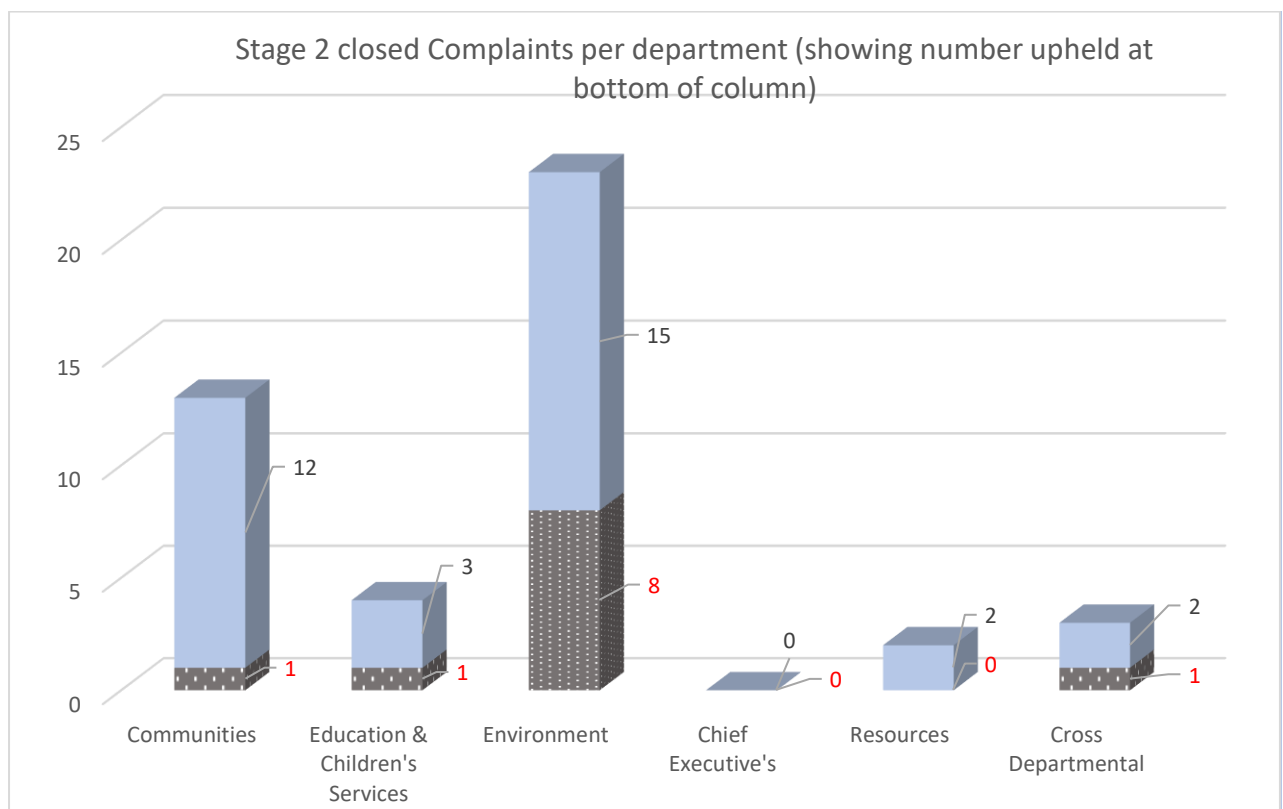
- 37 of the Adult Social Care complaints were investigated at the local resolution Stage 1.
- 9 were recorded under the Formal Investigation of Stage 2

- A further 41 complaints were dealt with by the department and recorded either as Redirects, No Further Action, on hold pending safeguarding or other.
- 8 complaints were escalated to the Public Services Ombudsman for Wales following completion of a Stage 2 investigation. Of the 8 complaints, 5 were rejected and no further investigation took place.
- 2 complaints were continuing to be investigated at the end of the financial year.
- The final complaint was in relation to the effective handling of a complaint relating to an external provider. Steps have been put in place to avoid this in future.



## 5. Stage 2 Complaints investigated and responded to

	Stage 2 Complaints	Stage 2 Complaints Upheld	Stage 2 Complaints Not Upheld
<b>Communities</b> (including Adult Social Care)	13	1	12
<b>Education &amp; Children's Services</b>	4	1	3
<b>Environment</b>	23	8	15
<b>Chief Executive's</b>	0	0	0
<b>Resources</b>	2	0	2
<b>Cross departmental</b>	3	1	2
<b>TOTAL</b>	<b>45</b>	<b>11</b>	<b>34</b>



## 6. Response timescales

	Percentage of Stage 1 complaints responded to within timescale (10 working days)	Percentage of Stage 2 complaints responded to within timescale (20 working days Corporate & 25 working days in line with Social Services Complaints Procedure (Wales) Regulations )
Communities	70%	46%
Education & Children's Services	65%	0%
Environment	57%	17%
Chief Executive's	50%	N/A
Resources	78%	50%
Cross Departmental	38%	33%
TOTAL	59%	27%

## 7. Compliments received

We receive many positive comments about our staff and the services we provide and Compliments are an important part of our learning as an organisation.

We therefore keep a record of the compliments we receive so that good practice and learning can be circulated across the Council. A total of 455 compliments were recorded during 2021/22.

A breakdown of the number received by service area can be found below.

	<b>Compliments</b>
<b>Communities</b>	<b>76</b>
<b>Education &amp; Children's Services</b>	<b>60</b>
<b>Environment</b>	<b>207</b>
<b>Chief Executive's</b>	<b>85</b>
<b>Resources</b>	<b>5</b>
<b>Cross Departmental</b>	<b>22</b>
<b>External</b>	<b>0</b>
<b>TOTAL</b>	<b>455</b>

## 8. Redirects

The Corporate Complaints Team also deal with a high number of redirects whereby requests reach the team which are not directly linked to the corporate complaints process.

A member of the public may consider a specific issue to be a complaint where it is actually a request for a service or for further information. The team redirect these requests to the relevant services.

	<b>Total Redirects</b>
<b>Communities</b>	<b>210</b>
<b>Education &amp; Children's Services</b>	<b>34</b>
<b>Environment</b>	<b>392</b>
<b>Chief Executive's</b>	<b>59</b>
<b>Resources</b>	<b>39</b>
<b>Cross Dept</b>	<b>41</b>
<b>External</b>	<b>22</b>
<b>TOTAL</b>	<b>797</b>

## 9. Complaints to the Public Services Ombudsman for Wales 2021-22

Following the formation of the Complaints Standards Authority (CSA) under the Public Services Ombudsman (Wales) 2019 Act, all public authorities across Wales are required to report their complaints activity to the Ombudsman's office on a quarterly basis. This information is available on the Ombudsman's Complaints Standards Authority webpage.

- The percentage of complaints received during 2021-22 which ended up being referred to the Ombudsman is 0.06%.
- The number of complaints referred to the Ombudsman per 1,000 residents in Carmarthenshire is 0.29.

<b>Carmarthenshire County Council Complaints</b>	<b>Received</b>	<b>% Share</b>
Adult Social Services	11	20%
Benefits Administration	1	2%
Children's Social Services	2	4%
Community Facilities, Recreation and Leisure	0	0%
Complaints Handling	8	15%
COVID-19	0	0%
Education	0	0%
Environment and Environmental Health	5	9%
Finance and Taxation	1	2%
Housing	8	15%
Licensing	0	0%
Planning and Building Control	12	22%
Roads and Transport	1	2%
Various other	5	9%
<b>TOTAL</b>	<b>54</b>	



The following table shows the outcomes of the complaints which PSOW closed for the Local Authority in 2021/2022.

This table shows both the volume, and the proportion that each outcome represents for the Local Authority.

<b>Outcome</b>	<b>Number</b>	<b>% share</b>
Out of jurisdiction	5	10%
Premature	20	41%
Other case closed after initial consideration	17	35%
Early resolution / voluntary settlement	7	14%
Discontinued	0	0%
Other reports – not upheld	0	0%
Other reports – upheld	0	0%
Public Interest Report	0	0%
<b>TOTAL*</b>	<b>49</b>	

\* Please note the different total numbers are due to the fact that some cases are carried over into the next reporting year because they haven't been closed down.

## **10. Our Learning**

- Complaints provide valuable feedback and are viewed by our staff as a positive opportunity to learn from experiences. This helps to drive continual service improvement and to prevent similar things happening again.
- For our customers, communication and regular feedback are integral to good services. Customers understand the service pressures that the public sector are facing; however, they must be kept up to date on issues in relation to the services that they use.
- Services and information must be accessible, with different access points and ways of communicating. We must continue to provide and develop a wide range of options for people to contact us.
- For our staff, complaints provide a first-hand account of the customer's views and experience, and resolving complaints early saves resources and creates better customer relations.
- Our colleagues across the Council need access to timely data and information so that they can support the implementation of the Corporate Complaints Policy.

## **11. Our Future Priorities**

We will continue to review the Complaints service throughout 2022-23 and make any necessary changes to ensure that our complaints process remains customer focused and that the Council is providing the best service possible. Below are some of our priorities moving forward so that we can achieve these goals.

### **Improved compliments recording**

There continues to be a concern that the good service provided every day by officers within the Council is not being represented. The complaints team will look at ways of updating our recording procedure to ensure our compliments are captured and that we are continuing to take on board what our customers want. Staff will also be reminded that it is important to report compliments as well as complaints. Compliments provide very helpful feedback and provide us with a flavour of what works well and what people using our services really value.

### **Developing guidance for Investigating Officers**

The Comments, Complaints and Compliments Policy provides process information for stakeholders; however we will be developing guidance for those undertaking investigations into Stage 1 and Stage 2 complaints. This guidance will define how complaints and compliments should be identified, recognised, recorded and reported for improved consistency across the organisation. Advice and support will also be given on completing investigations.

Mae'r dudalen hon yn wag yn fwriadol

**Pwyllgor Llywodraethu ac Archwilio**  
**17 Mawrth 2023**

**COFRESTR RISG CORFFORAETHOL 2022/23**  
**CYNGOR SIR CAERFYRDDIN**

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

I dderbyn Cofrestr Risg Corfforaethol

**Rhesymau:**

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

**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

**Aelod y Cabinet sy'n gyfrifol am y Portffolio:**

Cyng. Alun Lenny

<p><b>Y Gyfarwyddiaeth:</b> Gwasanaethau Corfforaethol</p> <p><b>Enw'r Gyfarwyddwr:</b> Chris Moore</p> <p><b>Awduron yr adroddiad:</b> Helen Pugh</p>	<p><b>Swyddi:</b></p> <p>Cyfarwyddwr Gwasanaethau Corfforaethol</p> <p>Pennaeth Refeniw a Chydymffurfiaeth Ariannol</p>	<p><b>Rhifau Ffôn / Cyfeiriadau E-bost:</b></p> <p>01267 224120  <a href="mailto:cmoore@sirgar.gov.uk">cmoore@sirgar.gov.uk</a></p> <p>01267 246223  <a href="mailto:hlpugh@sirgar.gov.uk">hlpugh@sirgar.gov.uk</a></p>
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**EXECUTIVE SUMMARY**  
**Governance & Audit Committee**  
**17 March 2023**

**Carmarthenshire County Council's**  
**Corporate Risk Register 2022/23**

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

The Register will be reviewed by the Governance & Audit Committee at its March and September meetings.

**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	Yes	None	None

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

## CONSULTATIONS

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

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

- 1. Scrutiny Committee** – Governance & Audit Committee will be required to receive the Corporate Risk Register at its meeting scheduled for 17 March 2023
- 2. Local Member(s)** – N/A
- 3. Community / Town Council** – N/A
- 4. Relevant Partners** – N/A
- 5. Staff Side Representatives and other Organisations** – N/A

<b>CABINET PORTFOLIO HOLDER(S) AWARE/CONSULTED:</b>	<b>Yes</b>
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**Section 100D Local Government Act, 1972 – Access to Information  
List of Background Papers used in the preparation of this report:**

**THERE ARE NONE**

Mae'r dudalen hon yn wag yn fwriadol



## Carmarthenshire Corporate Risk Register (Review 02/03/2023)

Risk Ref	Risk Title	Assigned To
CRR190061	Effect of Covid-19 and Brexit on recruiting and impact of workforce planning	Assistant Chief Executive
Control Measures		
CRR190061/001	Revisited gradings for home carers - recruitment hotspot	Assistant Chief Executive
CRR190061/002	Reviewing wider T&Cs to make post more attractive	Assistant Chief Executive
CRR190061/003	Other employee benefits to be promoted	Assistant Chief Executive
CRR190061/004	Workforce planning workshops with CMT & HoS - corporate priority	Assistant Chief Executive
CRR190061/005	Reallocating responsibilities within People Management and Social Care to address crisis in hotspot area = Dom Care / REs care and social workers	Assistant Chief Executive
Action Items		

<div><div>• Departmental Review for CMT - 02/03/2023</div><div>Control Measures:</div><div>CRR190061/001 Revisited gradings for home carers recruitment hotspot . Exercise complete.</div><div>CRR190061/002 Reviewing wider T&amp;Cs to make post more attractive. Review underway – specific to Home Care and Residential Care.</div><div>CRR190061/003 Other employee benefits to be promoted. Staff rewards hub during 2022 providing staff with discounted shopping in large and local retailers – constantly promoted via staff newsletter.</div><div>CRR190061/004 Workforce Planning Workshops with CMT &amp; HoS corporate priority. Completed – People Management will continue to provide the relevant people data to support services to workforce plan effectively.</div><div>CRR190061/005 Reallocating responsibilities within People Management and Social Care to address crisis in hotspot area = Dom Care / REs care and Social Workers. Funding for additional social care support has stopped and volumes remain high and application pools across the board remain low – causing problems within care sector.</div><div>New Recruitment System – procurement of system finalised. Implementation team established. New system fully operational by end of financial year.</div><div>General People Management comment: We continue to experience challenges in this area – higher than average turnover in some areas, high number of vacancies, number of applicants relatively low.</div><div>Risk Rating: Substantial 4 Very likely to occur 5 = 20</div></div>	Feb-23				
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Risk Ref	Risk Title	Assigned To				
CRR190033	<p>Flood - Operational Risk</p> <p>The physical effects of more frequent and intense storm conditions that compromise and stretch our operational ability to respond to widespread and prolonged emergencies both in the immediate response phase and recovery phase of a flood event, whilst also maintaining normal services. This will also include the risk of managing the public's expectation as the Council cannot respond to all requests for help during storm conditions. Response is curtailed by the resources available and the priorities at the time.</p>	Director of Place & Infrastructure				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190033/002	<p>Management of the response to a storm event in accordance with our strategic emergency plans, protocols and command structures.</p> <p>Available resources are prioritised according to strategic requirements.</p>		Director of Place & Infrastructure	<div>Significant</div> <div>20</div>	<div>Significant</div> <div>20</div> <div>Substantial</div> <div>Probable</div>	
Action Items						
<p>Departmental Review for CMT – 02/03/2023</p> <p>February 2023 Update (Ben Kathrens)</p> <p>Maintain existing rating.</p> <p>Construction work in underway on 4 flood defence capital schemes to manage flood risk at Drefach (Tumble), Ammanford, Ferryside and Llansteffan. This will be followed by construction works at Kidwelly and Newcastle Emlyn in May/June.</p> <p>Bids have been submitted to WG for grant funding to continue the development of 3 business cases to support bids for future construction works. Bids have also been submitted to WG for 3 small scale projects, one technological, one upgrading flood defence infrastructure at Llandovery and a third upgrading or drainage infrastructure in Dafen.</p> <p>Flood Defence are also working with Economic Development to launch another cycle of the Carmarthenshire business flood infrastructure fund. This will offer businesses up to £50k to implement flood residence or defences.</p>		Feb-23				

# Carmarthenshire Corporate Risk Register

## Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To					
CRR190056	Ensuring that the Authority effectively manages its financial resources and responds to the challenges of reduced funding (formerly CRR190004)		Director of Corporate Services/Head of Financial Services				
Control Measures			Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190056/001	Medium Term Financial Strategy - 3 Year Plan (including efficiency targets		Director of Corporate Services/Head of Financial Services	Significant	Significant		
CRR190056/002	Full County Council Elected Member Engagement on an annual basis to set priorities and allocate the Budget		Director of Corporate Services/Head of Financial Services	20	20		
CRR190056/003	Challenge from Scrutiny Committees		Head of Administration & Law		Catastrophic Likely		
CRR190056/004	Public Consultation regarding budget priorities on an Annual Basis		Director of Corporate Services/Head of Financial Services				
CRR190056/005	Engagement with Welsh Government via WLGA to ensure Carmarthenshire County Council receives fair funding from Welsh Government		Director of Corporate Services/Head of Financial Services				
CRR190056/006	TIC Programme to identify efficiencies and promote alternative methods of service delivery		Assistant Chief Executive				
CRR190056/007	Workforce Planning to ensure staff resources are planned to match demand		Assistant Chief Executive				
CRR190056/008	Wales Audit Office external challenge and assessment		Director of Corporate Services/Head of Financial Services				
CRR190056/009	Individual Heads of Service to develop efficiencies following external budget challenge reports		Director of Corporate Services				
Action Items							
Departmental Review for CMT - 02/03/2023			Feb-23				
Final budget proposals to be considered by Cabinet and recommendations from both member and public views to be taken into account by County Council following on from more than 2,000 responses. Divisional budget analysis challenge sessions will commence from spring onwards as part of the transformation workstreams to inform future budget production.							

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager Corporate Management Team

Risk Ref	Risk Title	Assigned To			
CRR190077	Significant operational pressures within the Fleet Services unit including a difficulty to retain or recruit skilled technicians and technical support staff, as well as vehicle supply chain pressures (hire/lease/purchase) combined with escalating parts, materials costs and fuel costs.	Director of Place & Infrastructure/Head of Transportation & Highways			
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating
CRR190077/001	Review employee remuneration to ensure competitive offer in marketplace and targeted promotion of vacancies.		Director of Place & Infrastructure/Head of Transportation & Highways	Significant	Significant
CRR190077/002	Continue to engage with market to try to secure additional resources.		Director of Place & Infrastructure/Head of Transportation & Highways	25	20
CRR190077/003	Prioritise HGV fleet and maintain Operator's licence.		Director of Place & Infrastructure/Head of Transportation & Highways		Substantial
CRR190077/004	Ensure fuel security with monitoring of fuel supplies and bunkered store and have contingencies in place.		Director of Place & Infrastructure/Head of Transportation & Highways		Probable
Action Items					
Departmental Review for CMT – 02/03/2023 February 2023 Update (Stephen Pilliner) Maintain existing risk rating CRR190077/001 Technician rates are currently being reviewed with the marketplace to determine an appropriate market supplement. CRR190077/002 Additional external resources engaged to increase capacity. CRR190077/003 - Operational review being undertaken to manage workload. External hire contractors being managed to improve performance.		Feb-23			

Risk Ref	Risk Title	Assigned To				
CRR190068	Continued deterioration of the condition of highways infrastructure and assets. Failure to address maintenance backlog (£38 million), as a consequence of falling investment levels leading to high levels of demand. Increased level of claims.	Director of Place & Infrastructure/Head of Transportation & Highways				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190068/001	Manage network in accordance with Highways Asset Management Plan adopting a risk based approach in accordance with the National Code		Director of Place & Infrastructure/Head of Transportation & Highways	Significant 20	Significant 20 Catastrophic Likely	
CRR190068/002	Continue to present the case for additional investment of capital , grant and revenue. Improve information systems on vulnerable assets such as drainage.		Director of Place & Infrastructure/Head of Transportation & Highways			
CRR190068/003	Inspection regime and response in line with highways asset management plan in compliance with Highways Maintenance Code of Practice		Director of Place & Infrastructure/Head of Transportation & Highways			
Action Items						
Departmental Review for CMT – 02/03/2023 February 2023 Update (Stephen Pilliner)  Maintain existing risk rating <ul style="list-style-type: none"><li>CRR 190068/002 Annual statement report submitted with resource requirement identified. Council budget setting pending Resilient Roads funding bid submitted to Welsh Government</li></ul>		Feb-23				

# Carmarthenshire Corporate Risk Register

## Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To			
CRR190066	Insufficient numbers of social work and care staff to provide sufficient assessment and care capacity which provides a risk to vulnerable people in not having needs assessed and being unsupported and potentially unsafe in the community.	Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning			
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating Previous Rating since 22/11/2022
CRR190066/001	Develop and implement social care recruitment and retention strategy.		Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning	Significant 25	Significant 20 Substantial Probable
Action Items					
<p>Departmental Review for CMT - 02/03/2023</p> <p>The position remains unchanged. We are still experiencing significant difficulties in recruiting sufficient numbers of qualified social workers and unqualified care staff which is a position across the sector in Wales currently.</p> <p>We continue to progress our Social Care Recruitment and Retention Plan which is overseen through fortnightly meetings chaired by the Director of Communities. In relation to Older People and Physical Disabilities, our ability to assess people and provide timely support is compromised. The current pressures in the acute health sector exacerbates this challenge. We are continuing to risk assess all those waiting for assessment and those waiting for care to ensure that those with greatest needs are supported first. Within Adult Social Care, whilst we do not have waiting lists for assessment, we continue to experience recruitment challenges in relation to our front-line care staff. As part of our recruitment and retention plan, we are therefore progressing several initiatives to ensure a sustainable workforce.</p> <p>We have established our Care Academi, seven trainees are currently on the programme, and we are planning for the next intake. We have implemented the further market supplement for social work staff in front line roles, we have agreed additional social work trainees across divisions.</p> <p>We are continuing to second staff to the Open University Social Work Degree which is an established programme. Three Social Work Assistants from the Adult Social Care Division are being supported to undertake a Full time Master's in social work. However, the ongoing inability to recruit and retain Approved Mental Health Professionals means that there is a continued risk we will be unable to fulfil our statutory responsibilities.</p> <p>We are also actively pursuing overseas recruitment of social workers and are planning to enter into a contract with an external organisation to support us with this.</p>		Feb-23			

Risk RefRisk Title		Assigned To			
CRR190067	Lack of availability of domiciliary care to support vulnerable adults which leads to the risk of people being unsupported and potentially unsafe in the community, as well as people being delayed leaving hospital preventing others being able to access urgent medical treatment.	Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning			
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk RatingPrevious Rating since 22/11/2022
CRR190067/001	Support the sector to grow the workforce.		Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning	Significant25	Significant20
CRR190067/002	Review of all those receiving care to look at opportunities to safely reduce arrangements to release care hours to support others		Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning		SubstantialProbable
CRR190067/003	Ongoing review of those waiting for care to reduce level of care needed.		Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning		
CRR190067/004	Consideration of temporary placement where appropriate to support those waiting for care.		Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning		
CRR190067/005	Bridge packages of care wherever possible.		Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning		
Action Items					
Tudalen 136					



<div><div>• Departmental Review for CMT - 02/03/2023</div><div><p>The position remains unchanged, and we continue to experience significant pressures with availability of domiciliary care due to staffing availability both in-house and with external providers. We are continuing therefore to work within a significantly constrained number of hours of care in both the in-house and externally commissioned service. Consequently, we still have a significant number of people waiting for care in both the community and hospital, although many of those waiting continues to be bridged by some form of alternative care as an interim measure. Whilst work is ongoing to address the underlying staffing pressures, both through national and local recruitment initiatives, this work will take time. Therefore, the following actions are progressing to mitigate these capacity issues.</p><p>We are seeing positive results in relation to our integrated home-based care service, a partnership initiative with the Health Board which is impacting on the numbers able to leave hospital. However anticipated performance has been thwarted due the inability to recruit significant numbers to these positions.</p><p>The Care and Support Coordinators are continuing to review all those receiving or waiting for care to see whether levels of care can safely be reduced, and care hours released. In addition, we are risk assessing all those waiting for care so we can prioritise those waiting when hours become available.</p><p>Bridging opportunities such as temporary residential placements are in place to temporarily provide care whilst a long-term provider is sourced.</p><p>We are also planning a number of informal recruitment events in areas where we are struggling to recruit to provide information on social care opportunities within Carmarthenshire.</p></div></div>	Feb-23				
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Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager Corporate Management Team


Risk RefRisk Title		Assigned To			
CRR190049	Risk of local business and economy not recovering from the lockdown and rises in energy and inflation		Head of Regeneration		
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk RatingPrevious Rating since 22/11/2022
CRR190049/001	Financial support to businesses		Head of Regeneration	Significant20	Significant16
CRR190049/002	Advice to businesses		Head of Regeneration		Substantial
CRR190049/003	Support to businesses		Head of Regeneration		Likely
CRR190049/004	Database of local suppliers and traders		Head of Regeneration		
CRR190049/005	Robust economic recovery plan to protect jobs and safeguard businesses		Head of Regeneration		
Action Items					
Departmental Review for CMT – 02/03/2023					
Work continues to deliver the Carmarthenshire Economic Recovery Plan (ERP). Financial support has been made available to businesses through the business start-up and business growth fund with some £475k awarded to date. Building upon this success and identified business need, a package of business support mechanisms will be delivered under the Shared Prosperity Fund (SPF) business anchor, including business growth and start up funding, a business renewable energy fund and a property development fund. We are reviewing options to maximise the opportunity of our public spending benefiting and boosting the local economy, protecting local jobs, reducing carbon emissions, and strengthening local supply chains.					

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190069	Contractor and internal capacity issues leading to a high backlog of housing responsive repairs and housing voids which reduces the number of homes available to let and a delay in repairs being completed.	Director of Communities				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190069/001	Parcel work based on type and geographical location to encourage take up by contractor		Head of Housing Property & Strategic Projects	Significant	Significant	20 
CRR190069/002	Procurement arrangements to be reviewed to introduce a new Minor Works Framework by August 2023		Head of Housing Property & Strategic Projects	25	16	-4
CRR190069/003	Staffing resources to be reviewed as part of Divisional realignment in 2022		Head of Housing Property & Strategic Projects		Substantial	
CRR190069/004	Discussions with contractors to encourage take up of work during existing Framework		Head of Housing Property & Strategic Projects		Likely	
CRR190069/005	Employment of additional operational staff to provide greater in-house resilience and to reduce dependence on the limited contractor base in the area		Head of Housing Property & Strategic Projects			
CRR190069/006	Undertake a review of Voids processes		Head of Housing Property & Strategic Projects			
CRR190069/007	Upgrade Total Repairs property maintenance job management system to Total Connect and Asset Management system to CX Assets to improve data management and issuing of work to contractors / in-house staff, plus improved communication with tenants		Head of Housing Property & Strategic Projects			
Action Items						
Tudalen 139						

<div><div>• Departmental Review for CMT - 02/03/2023</div><div><p>In response to the CMT Review of the Risk Register in July this risk has been renamed "Contractor and internal capacity issues including construction skills shortages, post-Covid high demand and inflation leading to a high backlog of housing responsive repairs, housing voids, and adaptations which reduces the number of homes available to let and a delay in repairs being completed".</p><p>There continues to be a slight improvement in contractor availability as a result of a reduction in demand from other clients in the region. The inflation uplift in the Minor Works Framework has now been resolved, although this is below current inflation. This should reduce, at least partially, the reluctance of a number of contractors who have indicated that they are not prepared to undertake work for the Authority at the current Framework rates.</p><p>Works are being packaged and will be tendered to allow contractors to reflect market prices in their tendered rates. A new Housing Repairs Helpdesk has been created with additional resources to enable a more pro-active response to tenants awaiting work and boiler repair calls are now routed directly to the contractor to reduce contact centre call volumes.</p><p>Work on renewal of the Minor Works Framework has been limited but additional dedicated resource is to be recruited to take forward the project.</p><p>The Empty Homes &amp; Voids Improvement Board has been expanded to cover responsive repairs from January 2023 and 2 additional senior staff have been seconded to the Housing Property &amp; Strategic Projects Division to increase the capacity for improvements at a quicker pace than existing resources would allow. Recruitment to vacant posts and to additional operational posts for Voids and Responsive teams is ongoing and realignment of the Division is imminent. Significant other work is ongoing in implementing the Voids Review and a new "fast-let" voids standard has been introduced to speed up the lettings process. As at 10/02/2022 the voids backlog has reduced by a third to 275. Upgrading of Total Connect is ongoing and is due to be completed by April 2023, subject to outstanding amendments to Agresso being completed in January.</p><p>Previous Risk Rating Substantial / Probable = Significant 20</p></div></div>	Feb-23				
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Risk RefRisk Title		Assigned To			
CRR190038	Covid19 - Strategic Increase in levels of anxiety which is directly affecting mental health. Health and wellbeing of staff and the public	Assistant Chief Executive			
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating Previous Rating since 22/11/2022
CRR190038/001	Provision of support from Occupational Health to our own staff		Assistant Chief Executive	Significant 20	Significant 16 Substantial Likely
Action Items					
Departmental Review for CMT - 02/03/2023  Control Measures:  GRR190038/001 Provision of support from Occupational Health to our own staff. Employee wellbeing: Whilst we are emerging from the pandemic, concerns remain about general employee wellbeing, referrals into our WSS service is increasing. Factors affecting our staff include, the cost of living crisis, legacy of Covid, inability to access treatments due to NHS waiting lists. Attendance is also impacted. Staff are waiting longer for NHS procedures or are unable to access GPs for referrals to necessary services.  Wellbeing Strategies are being put in place to support staff through this difficult time.  Supporting Employee Mental Health: Mental Health support referrals are increasing. We have capacity concerns within OH service to meet the increasing demand.  Revised Risk Rating: Impact 4 Likelihood 4 = Overall Score 16		Feb-23			

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To					
CRR190015	Delivery of the Approved Capital Programme (Outcomes / Budget)		Director of Corporate Services				
Control Measures			Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190015/001	Strategic Asset Steering Group			Head of Financial Services	Significant	Significant	
CRR190015/002	Project Management Tool Kit			Head of Regeneration	16	16	
CRR190015/003	Project Management Training			Assistant Chief Executive		Substantial	
CRR190015/004	Long term Treasury management / loan funding			Director of Corporate Services		Likely	
CRR190015/005	Consideration to be given to prioritisation of approved schemes to maximise outcomes, subject to grant conditions.			Director of Corporate Services			
Action Items							
Departmental Review for CMT - 02/03/2023			Feb-23				
Budget monitoring indicates £84 million underspend in current year partially due to contractor capacity constraints, including tender prices which far exceed project budget available.							

Risk RefRisk Title		Assigned To				
CRR190032	Flood - Strategic Risk The physical effects of more frequent and intense storm conditions that compromise homes, businesses, essential infrastructure and services. This will also include the risk of managing the public's expectation that the Council can completely address, control and mitigate all flood risks regardless of source or asset owner.	Director of Place & Infrastructure				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190032/001	Flood Risk Strategy and FRMPs		Director of Place & Infrastructure	Significant	Significant	
CRR190032/002	Community Plans in terms of self-help where practicable		Director of Place & Infrastructure	20	16	
CRR190032/003	Continue to work with our professional partners (as a LLFA)		Director of Place & Infrastructure		Substantial	
CRR190032/004	S19 Reports and action plans		Director of Place & Infrastructure		Likely	
CRR190032/005	Pro-active maintenance programme for flood assets		Director of Place & Infrastructure			
CRR190032/006	Making more use of contemporary flood data and information from partner agencies		Director of Place & Infrastructure			
CRR190032/007	SAB for future development and TAN 15 compliance		Director of Place & Infrastructure			
CRR190032/008	Effective communication strategy		Director of Place & Infrastructure			
Action Items						
Departmental Review for CMT – 02/03/2023 February 2023 Update (Ben Kathrens)  Maintain existing rating Applications have been submitted to WG to undertake two strategic evaluations of flood risk and develop business cases at Dafen and Whitland. The amended version of TAN15 (planning policy technical advice note on development and flood risk) has been released and Flood Defence Officers are reviewing that and providing comments back to WG and the WLGA accordingly.		Feb-23				

Risk RefRisk Title		Assigned To			
CRR190016	Delivery of the Authority's Waste Management and Recycling Strategy to ensure that we meet our statutory recycling targets and wider obligations including improvements to the quality of recyclable materials to support circular economy principles and reduce carbon outputs in accordance with Welsh Governments Beyond Recycling national strategy	Head of Waste & Environmental Services			
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk RatingPrevious Rating since 22/11/2022
CRR190016/001	Maintain current provision and infrastructure for recycling		Head of Waste & Environmental Services	Significant20	Significant16
CRR190016/002	Continue education and awareness activity to improve participation		Head of Waste & Environmental Services		SubstantialLikely
Action Items					



Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190019	Failure to ensure that schools effectively manage their resources and respond to the challenges of reduced funding	Director of Education & Children Services				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190019/001	Lead the TIC Schools project, working with colleagues and schools to identify significant savings as set by the County Council through the budget efficiency programme		Director of Education & Children Services / Head of Education & Inclusion	Significant  16	Significant  16  Substantial  Likely	
Action Items						
Departmental Review for CMT - 02/03/2023  The Risk Rating should remain as 16 Significant (Substantial 4, Likely 4).  Senior officers and ESAs work closely with Chairs and other members of the Governing Body to address issues in relation to finance and staffing. Governors receive detailed support and guidance from Education Support Advisers when recruiting senior leaders within their schools and when re structuring their staffing. This is ensuring an effective use of resources. Governors have been well supported to make very difficult decisions in many schools due the effective analysis of financial data. However, a minority of schools still face significant budgetary challenges. The risk therefore remains significant. The Schools' Transformation Project in relation to schools will support school leaders with ensuring value for money and securing further efficiencies. However, a significant pressure is being placed on all schools' budgets due to delegation limitations. The number of schools serviced by the budget is placing general delegated budgets and ALN budgets under severe pressure, with services unable to meet the demands of our most vulnerable pupils. Any proposal to cut the delegated budget to schools will place more schools in to deficit budget and will increase the deficit in those schools already in deficit.		Feb-23				

Risk Ref	Risk Title	Assigned To				
CRR190028	School Leadership - Our ability to recruit and retain high quality and resilient school leaders who can respond to and deal with the transformation of education in Wales	Director of Education & Children Services				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190028/001	Develop and use a more robust competency based process to recruit school leaders		Head of Education and Inclusion	Significant	Significant	
CRR190028/002	Provide each new school leader with a mentor who's an experienced and successful school leader		Head of School Effectiveness	16	16	
CRR190028/003	Encourage leaders and prospective leaders to enrol on Partneriaeth's leadership courses/programmes		Head of School Effectiveness		Substantial	
CRR190028/004	Provide Educational Support Adviser support for all new school leaders and provide bespoke induction/mentoring programme		Head of School Effectiveness		Likely	
CRR190028/005	Use the Headteacher Performance Management process effectively to challenge, develop and support school leaders		Head of School Effectiveness			
Action Items						
Departmental Review for CMT - 02/03/2023		Feb-23				
The current Risk Rating needs to remain at Significant 16, the impact remains Substantial 4 and the probability remains Likely 4. This is due to the fall out of the pandemic which has led to a rise in early retirements with less of an appetite for deputies to step up. There is a risk that the current school footprint, which still contains many small schools which need school leaders covering multiple schools, is not an attractive role for applicants. We continue to use an Assessment Centre approach to recruit Headteachers; provide each new school leader with a mentor, encourage prospective leaders to enrol on Partneriaeth's leadership courses/programmes; provide Educational Support Adviser support for all new school leaders and use the Headteacher Performance Management process effectively to challenge, develop and support school leaders. A new recruitment drive is being developed with assistance from HR and Communications colleagues in order to attract more applicants for the current vacancies, this will form a key part of the new Workforce Strategy being developed for the Council. Currently, there is significant demand on leadership in our primary sector. A number of headteachers are retiring during this academic year placing significant pressure on the system and officers to identify new leaders and attract appropriate qualified candidates Therefore we are working with the Marketing and Media Team, a school recruitment campaign is planned to attract high quality candidates to Carmarthenshire.						

Risk Ref	Risk Title	Assigned To			
CRR190076	Failure to secure the full extent of home-to-school transport services from third party providers due to a range of economic and market specific issues including increasing fuel costs, driver and maintenance technician shortages across the industry, supply market challenges (vehicles and parts) and an increasing complexity in demand management.	Director of Place & Infrastructure/Head of Transportation & Highways			
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating
CRR190076/001	Introduce emergency fuel supplement payments to operators to sustain services.		Director of Place & Infrastructure/Head of Transportation & Highways	Significant	Significant
CRR190076/002	Continue to engage with operators.		Director of Place & Infrastructure/Head of Transportation & Highways	20	16
CRR190076/003	Work closely with Education.		Director of Place & Infrastructure/Head of Transportation & Highways		Substantial
CRR190076/004	Continue to make representations to WG via the WLGA.		Director of Place & Infrastructure/Head of Transportation & Highways		Likely
Action Items					
Departmental Review for CMT – 02/03/2023 February 2023 Update (Steve Pilliner)					
Maintain existing rating					
• CRR190076/001 - The emergency fuel supplement payments to operators have been actioned and implemented. These are being superseded where new contracts come into operation.		Feb-23			
CRR190076/002 - Tender prices continue to rise due to energy costs, national driver shortages and supply chain pressures.					
CRR190076/003 - Financial support for public services is being discussed at a national level which may have a significant impact on the industry.					

Risk Ref	Risk Title	Assigned To				
CRR190034	Cyber Risk such as: - Ransomware or malware infection - Denial of Service Attack (DOS) - Unauthorised network access (hacking) - External and Internal - Phishing Email Attack - staff approach - Increased risk of cyber crime due to phishing and malware attacks exploiting Covid-19	Head of ICT & Policy				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190034/001	Cyber incident response plan		Head of ICT & Policy	Significant	High	
CRR190034/002	Staff awareness training		Head of ICT & Policy	20	15	
CRR190034/003	Firewalls		Head of ICT & Policy		Catastrophic	
CRR190034/004	Application control on servers		Head of ICT & Policy		Possible	
CRR190034/005	Security updates continuously rolled out		Head of ICT & Policy			
Action Items						
Departmental Review for CMT - 02/03/2023  Risk rating remains high with on-going potential risk to a cyber attack. We are developing cyber awareness training with L&D to be launched when the new LMS system is ready. Cyber Stocktake report due at CMT on the 16th of March to provide update on cyber risk landscape and current and planned remediation.		Mar-23				

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190073	Ensure effective Business Continuity Plans across the Authority.	Corporate Management Team				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190073/001	Emergency Planning section to establish and coordinate working group on behalf of CMT to look at Business Continuity Plans across the Authority.		Corporate Management Team	Significant 20	High 15 Significant Probable	
Action Items						
Departmental Review for CMT – 02/03/2023 February 2023 Update (Alan Howells)						
Maintain existing rating		Feb-23				
Cross departmental workshop planned for March 2023 to agree actions moving forward.						
February 2023 update: The Business Contingency Planning Group met on 26th January and the Business Continuity Plans remains an agenda item. A Business Continuity Task & Finish Group are due to meet early March to consider the Draft Internal Audit Report - 'Disaster Recovery and Business Continuity Plans' and to develop an action plan to address the findings and recommendations.		Feb-23				

Risk Ref	Risk Title	Assigned To				
CRR190050	<div>Risk of contractor and suppliers failing to deliver projects/schemes, because of highly volatile macro economic conditions and inflation/disruption to suppliers, service goods and materials, which has an impact of the non-delivery of capital works.</div> <div><div>- Failure to meet grant expenditure conditions.</div><div>- contractors resources depleted</div><div>- contract failure</div><div>- cost increases</div><div>- sourcing materials</div><div>- Contractors unwilling to carry out work at framework prices</div></div>	Director of Place & Infrastructure				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190050/001	Review pipeline of projects with clients to align project delivery and budget with supply side capacity and market conditions.		Director of Place & Infrastructure	Significant	High	
CRR190050/003	Undertake regular financial checks on suppliers.		Director of Place & Infrastructure	20	15	
CRR190050/004	Approved exception process in place for exceptional circumstances		Director of Corporate Services		Catastrophic	
CRR190050/005	Undertake a review of the Council's Contract Risk allocation		Director of Place & Infrastructure		Possible	
Action Items						
Tudalen 150						

<div><div><div>• Departmental Review for CMT – 02/03/2023</div><div>February Update (Jason G Jones)</div><div>Maintain existing risk rating</div><div>Control updates</div><div>CRR 190050/001 – The pipeline of projects continues to be reviewed with clients as part of on-going scheme progress and budget monitoring meetings.</div><div>CRR 190050/003 – Financial checks continue to be undertaken on an on-going basis, as part of the procurement process for each project. As part of the Framework requirements and on-going management, contractors are required to maintain the minimum financial requirements to allow pre-qualification.</div><div>Individual scheme monitoring, and programme budget monitoring for collective schemes, is undertaken on an on-going basis.</div><div>CRR 190050/004 – The approved exception process continues to be used when required to progress projects.</div><div>CRR 190050/005 –A meeting was held by the senior CCC colleagues with Geldards on 12th December on a draft briefing paper which has been shared. The Head of Risk and Compliance to consider the Council's position on this and feedback to the Service Managers to include within their contractual structures.</div></div></div>	Mar-23				
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Risk Ref	Risk Title	Assigned To				
CRR190072	Deterioration of the Council's School and Non-School buildings due to the lack of building surveys.	Director of Place & Infrastructure / Property Maintenance Manager				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190072/001	Building condition surveys on non-school buildings and reports to be reinstated		Property Maintenance Manager	Significant	High	
CRR190072/002	Building condition surveys on school buildings and reports to be reinstated		Director of Place & Infrastructure / Property Maintenance Manager	25	15	
CRR190072/003	Risk Management bid to be considered to fund urgent building condition surveys		Director of Place & Infrastructure / Property Maintenance Manager		Catastrophic	
CRR190072/004	Establishment of a Schools Handy Van service for Primary school, with 2 inspections by an inspector annually.		Director of Place & Infrastructure / Property Maintenance Manager		Possible	
Action Items						
Departmental Review for CMT - 02/03/2023		Mar-23				
001 & 002 - Condition surveys are continuing in schools on programmed basis agreed with Simon Davies.						
004 - Progress of the Schools Handy Van service is being monitored by the TIC Programme Board.						
All Handyvan inspection visits continue to be undertaken for primary schools and Building Inspectors continue to undertake second visits for each primary school. A schedule of repairs requiring budget approval by schools continues to be held in Property Maintenance, but there are some delays in approval. Costings for expanding the service has been developed for Secondary Schools and Corporate buildings. Business case will be developed for consideration						



Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190027	Fraud & Corruption The cost of fraud to the Welsh Public Sector is estimated to be in the region of between £100million and £1billion annually (as reported by the WAO)	Head of Revenues & Financial Compliance/Director of Corporate Services				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190027/001	Anti-Fraud & Anti-Corruption Strategy		Head of Revenues & Financial Compliance / Director of Corporate Services	Significant	High	
CRR190027/009	CRR190027/0009 Financial controls in place to mitigate fraud		Head of Revenues & Financial Compliance / Director of Corporate Services	20	15	Catastrophic
CRR190027/010	CRR190027/0010 Fraud is specifically included in the Internal Audit Plan		Head of Revenues & Financial Compliance / Director of Corporate Services		Possible	
CRR190027/007	Counter Fraud proficiency within the Internal Audit Team		Head of Revenues & Financial Compliance / Director of Corporate Services			
CRR190027/005	Participation in the National Fraud Initiative Exercise		Head of Revenues & Financial Compliance / Director of Corporate Services			
CRR190027/008	Effective relations with Dyfed Powys Police		Head of Revenues & Financial Compliance / Director of Corporate Services			
CRR190027/002	Whistleblowing Policy		Head of Revenues & Financial Compliance / Director of Corporate Services			
CRR190027/003	Financial Procedure Rules		Head of Revenues & Financial Compliance / Director of Corporate Services			
CRR190027/004	Code of Conduct - Members & Officers		Head of Revenues & Financial Compliance / Director of Corporate Services			
CRR190027/006	Dedicated Fraud Investigation Officer dealing with Revenue & Benefit Frauds		Head of Revenues & Financial Compliance / Director of Corporate Services			
Action Items						
Tudalen 153						

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager Corporate Management Team

<div><div><div>• Departmental Review for CMT - 02/03/2023</div><div><p>The Financial Procedure Rules have been reviewed and approved by the Governance and Audit Committee at the end of 2022; the document is available to all staff on the Council's intranet. The Financial Procedure Rules for Schools are currently under review. Once this review is complete, the document will be subject to appropriate approval, before being issued and promoted to schools. We are working with the Communications team to publish a counter fraud screen saver on the home screen of the Council's computer network; this will promote the counter fraud message to staff across the Authority.</p><p>The fraud officer position within the Revenue Services Division has recently left the Authority, job is to be advertised soon. This will bring a new person with a new perspective and new ideas for how to actively promote the counter fraud message.</p></div></div></div>	Feb-23				
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Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190043	Post Covid19 - Strategic Financial Implications - loss of income Financial implications - increased costs due to Covid-19 demands and compliance with Cabinet and Welsh Government instructions	Director of Corporate Services/Head of Financial Services/Head of Revenues & Financial Compliance				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190043/001	Recovery of Council Tax & NNDR whilst being sensitive to the current situation		Director of Corporate Services/Head of Financial Services/Head of Revenues	Significant	High	
CRR190043/002	Recovery of Housing Rent		Director of Corporate Services/Head of Financial Services/Head of Revenues	25	15	
CRR190043/004	CRR190043/003 Regular and robust budget monitoring to assess ongoing income loss/additional costs, unidentified correct action		Director of Corporate Services/Head of Financial Services/Head of Revenues		Catastrophic Possible	
Action Items						
Departmental Review for CMT - 02/03/2023  Implications of the cost of living crisis will also impact the recovery of Council Tax and NNDR. Forecasted sustained reductions in car parking charges due to usage, although leisure is forecasted to reach pre-covid levels by the end of the year.		Feb-23				

# Carmarthenshire Corporate Risk Register


## Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190075	Continuing to improve the way we respond to the current pressures on Homeless Services through innovative working practices, support, flexibility and investment. Failure to do so will result in us not meeting housing need, increasing homelessness, an unsustainable service and residents not having the right home at the right time.	Director of Communities				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190075/001	Housing Hwb structure agreed at DMT, recruitment commenced.		Director of Communities	Significant	High	
CRR190075/002	Weekly monitoring of homelessness presentations including Ukraine Households, availability of temporary accommodation and availability of settled accommodation.		Director of Communities	16	12	
CRR190075/003	Direct allocation of homes to those in greatest need approved by Pre-Cabinet, allocations group with RSL Partners operational.		Director of Communities		Significant	
CRR190075/004	The establishment of a pre-decision Task and Finish group, to develop an emergency allocations policy for social housing in Carmarthenshire to be confirmed.		Director of Communities		Likely	
CRR190075/005	Development of Rapid Rehousing Transitional Plan in Partnership with internal and external Stakeholders to be submitted to Welsh Government 30 09 22. Due to be endorsed by DMT/CMT in October/November.		Director of Communities			
CRR190075/006	Additional resources to respond to potential increase in Ukraine Homeless presentations requested.		Director of Communities			
CRR190075/007	In the event of breakdown of relationship between Ukraine Household with current host; consider a new host family, use of temporary accommodation, and the use of Social Lettings together with accommodation in the private rented sector.		Director of Communities			
CRR190075/008	Ensure close liaison between newly established in-house support team, pre-accommodation team and EYST support service.		Director of Communities			
Action Items						
Tudalen 156						

<div><div>• Departmental Review for CMT - 02/03/2023</div><div>There continues to be difficulty in recruiting to some posts in the Housing Hwb due to the short term funding arrangements. Direct matching has been implement through 'exceptional circumstances' 64% of vacancies are now being allocated to people in greatest need. Scrutiny Task and Finish Group have presented their recommendations to Scrutiny the emergency allocations policy is due to be presented to pre-Cabinet and Cabinet in February and County Council for approval in March 2023. Outreach services are in operation for rough sleepers and a workstream for the transformation of temporary accommodation has been introduced. Daily monitoring of homeless presentations and the use of Temporary Accommodation is operational. Arrangements are in place for Housing Options Advisors (Homelessness) to be available daily at the three corporate Hwbs of Llanelli, Ammanford and Carmarthen.</div></div>	Feb-23				
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Risk Ref	Risk Title	Assigned To				
CRR190030	Risk to social care delivery/business continuity in relation to in-house and externally commissioned domiciliary care, residential care and day services Director of Communities due to fluctuating instances of Covid-19 transmission across the workforce and associated staff absence.					
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190030/006	Safe systems of work designed		Assistant Chief Executive	Significant	High	20 -8 
CRR190030/007	Identify where there maybe potential to free up capacity in some		Assistant Chief Executive	20	12	
CRR190030/001	Outbreak meetings in place which review staffing levels, and identify contingency required.		Director of Communities		Significant	
CRR190030/002	Ongoing encouragement of vaccine uptake to mitigate the risk.		Director of Communities		Likely	
CRR190030/003	Risks are reviewed by each service on a daily basis, and contingency put in place as needed.		Director of Communities			
CRR190030/004	Business continuity plans in place and subject to ongoing review. These consider contingency arrangements on basis of 10%/20%/30% absence.		Director of Communities			
CRR190030/005	Infection control plans are in place for each service		Director of Communities			
Action Items						
Departmental Review for CMT - 02/03/2023		Feb-23				
The risk description remains unchanged following last month's update, to better reflect the business-as-usual position of managing Covid in care settings. Safe systems of work continue to be delivered in line with WG guidance and business continuity plans in place and are reviewed on an ongoing basis. Managers continually risk assess care settings and adjust working practices accordingly. The use of masks is still required in home care and settings and admissions to care homes or respite provision will be suspended if there is an outbreak if necessary. Services continue to monitor staffing levels daily and ensure that contingency is put in place as needed. Levels of sickness linked to Covid have however reduced significantly						

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager Corporate Management Team

Risk Ref	Risk Title	Assigned To					
CRR190031	Failure to comply with the requirements of the Local Government and Elections (Wales) Act		Corporate Management Team				
Control Measures			Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190031/001	Public participation strategy being produced		Corporate Management Team	High	High		
CRR190031/002	Petition scheme being developed		Corporate Management Team	12	12		
CRR190031/005	Collaborative working with Principal councils - awaiting further guidance from WG		Corporate Management Team		Substantial		
CRR190031/006	Corporate Joint Committees - Guidance awaiting from WG - LG engagement will be expected in developing regulation		Corporate Management Team		Possible		
CRR190031/007	Webcasting of meetings arrangements in place and work ongoing on developing the arrangements for moving from remote attendance meetings to hybrid meetings		Corporate Management Team				
Action Items							
Departmental Review for CMT - 02/03/2023			Mar-23				
The introduction of the Elections Act 2022 has widened the gap on divergence issues between devolved elections and National Elections. We are awaiting an update from Welsh Government on what elements they will introduce to narrow this gap.							
Request from Amanda Edwards - Can the Risk be amended to read "Failure to comply with the requirements of the Local Government and Elections (Wales) Act and Elections Act 2022"?							

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager Corporate Management Team

Risk Ref	Risk Title	Assigned To					
CRR190013	Delivery of the City Deal (Outcomes / Budget)		Corporate Management Team				
Control Measures			Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190013/001	Establishment of Swansea Bay City Region Board			Corporate Management Team	Significant	High	
CRR190013/002	Development of Regional Joint Committees			Corporate Management Team	16	12	
CRR190013/003	An agreement between the UK and Welsh Governments and 4 local authorities (Carmarthenshire, Swansea, Neath & Port Talbot and Pembrokeshire) and successful private and public collaboration will address the economic underperformance of the region, with emphasis on uplifting productivity, skills, employment and prosperity.			Corporate Management Team		Substantial	
CRR190013/004	Financial Planning SBCD portfolio level risks are identified within the quarterly report under each project/programme			Director of Corporate Services		Possible	
Action Items							
Departmental Review for CMT - 02/03/2023			Feb-23				
A 5 year operational budget has been compiled and was approved by the Joint Committee. A draft budget for 2023/24 and an options appraisal in respect of the POMO beyond 5 years is being compiled. Currently the Swansea Bay City Deal is demonstrating an increase in constructions costs of estimated £331 million. Projects themselves are currently reviewing the mitigating actions and will update quarterly. Borrowing costs in respect of regional projects are currently being reviewed by Section 151 officers.							
Swansea Bay City Deal manage the grant award in line with the funding conditions set out by Governments and in line with discernment conditions outlined within the SBCD Joint Committee agreement, programme and project funding agreements and Carmarthenshire County Council's financial regulations and appropriate adopted financial strategies. Funding the current Year 5 year is expected to be receipted, including the front loading of UK Government grant.							



Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190005	Ensuring effective management of Grant Funding (including accessing Grant Funding) Threat of having to repay significant Grant monies. Failure to manage grants and maximise on the funding resources available Failure to secure funding Failure to deliver current projects within the set timescales Failure to deliver outputs in line with the T&Cs of grant paying department	Director of Corporate Services				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190005/005	Recovery Group reviewing financial position		Director of Corporate Services	Significant	High	
CRR190005/006	Reprioritisation of funding to best address the current liabilities		Director of Corporate Services	16	12	
CRR190005/007	Reprioritisation of capital programme		Director of Corporate Services		Substantial	
CRR190005/001	Project Management Training		Director of Corporate Services		Possible	
CRR190005/002	Grant Funding Bodies Guidance Briefings and Training		Director of Corporate Services			
CRR190005/003	Grants Panel		Director of Corporate Services			
CRR190005/004	Grants Manual / CPRs / FPRs		Director of Corporate Services			
CRR190005/008	Effective Budget Monitoring		Director of Corporate Services			
CRR190005/009	Contract management toolkit has been developed & E-Learning to be launched		Director of Corporate Services			
Action Items						
Departmental Review for CMT - 02/03/2023  Threat of reduced grant incomes as grants are flat cash v significant scale of pay awards and construction cost inflation thus increasing the risk.		Feb-23				

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190057	Maintain and develop an effective Local Development Plan	Head of Place & Sustainability				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190057/001	Development of an effective Local Development Plan (LDP)		Head of Place & Sustainability	High	High	
CRR190057/002	Adopted LDP in place with no defined end date – continued monitoring through Annual Monitoring Reports to assess effective implementation.		Head of Place & Sustainability	12	12	
CRR190057/003	Develop policy interventions to ensure the effective implementation of the adopted LDP including use of LDO's etc enabling policy approaches to be agile and adaptable to changes in context and strategic objectives.		Head of Place & Sustainability		Substantial	
CRR190057/004	To continue the preparation of the Revised LDP reflecting of the Councils corporate and strategic objectives whilst having appropriate regard to national policy and legislation.		Head of Place & Sustainability		Possible	
CRR190057/005	Put in place a revised Delivery Agreement and timetable by April 2022 for the preparation of the Revised LDP with WG agreement.		Head of Place & Sustainability			
CRR190057/006	To participate and collaborate regionally on the preparation of the Strategic Development Plan for South-West Wales.		Head of Place & Sustainability			
Action Items						
Departmental Review for CMT – 02/03/2023 February 2023 Update (Rhodri Griffiths/Ian Llewelyn)  Maintain existing risk rating.  Control measure updates  CRR190057/001 AND 004 – Revised LDP 2nd Deposit to be published for public consultation w/c 13th February reflecting the commitment to responding to the challenges associated with Climate and Nature Emergencies, Regen and the Covid 19 response and phosphates. Evidence base updated and legal duties to prepare a Integrated Sustainability Appraisal and Habitat Regulations Assessment undertaken as part of the consultation.		Feb-23				

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190065	Failure to determine or secure Extension of Time (EOT) for Planning applications which are outside the determination date. Current risk in relation to the repayment of the planning fee applicants where a planning application is over time (not been determined within the determination date) or has not been subject to an agreed EOT.	Head of Place & Sustainability				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190065/001	Develop, review and implement processes relating to the timely determination of planning applications.		Head of Place & Sustainability	High	High	
CRR190065/002	Develop, review and implement protocols and polices to ensure improved consistency and approach in determining planning applications, including the use of EOT.		Head of Place & Sustainability	15	12	
CRR190065/003	Standardise and ensure consistent use of EOT letters (where there may be delays in the timely determination of planning applications) including monitoring mechanisms and protocols for the identification of relevant applications.		Head of Place & Sustainability		Substantial Possible	
Action Items						
Departmental Review for CMT – 02/03/2023 February 2023 Update (Rhodri Griffiths/Hugh Towns)						
Maintain existing risk rating.		Feb-23				
Control measure updates						
Procedures have been introduced to generate Extension of Time in relation to applications approved subject to Section 106 Agreements and applications affected by the phosphates issue. The number of applications now stands at 270 and the risk of exposure is reduced to £396,000.						

## Risk Register - Carmarthenshire Corporate Risk Register

Corporate Management Team

Tudalen 164

<div><div><div>• Departmental Review for CMT – 02/03/2023 February 2023 Update (Rhodri Griffiths/Rosie Carmichael)</div><div><p>Its proposed that all the Ash Dieback risks should be closed off now as the management of these risks in now incorporated and integrated into our day to day working practices. Further, following the appointment of a permanent Tree Safety Officer post, CCC is now managing all aspects of tree safety issues in a more comprehensive way regardless of species.</p><p>CCC has been running its Ash Dieback project with a dedicated officer since March 2020. Working collaboratively CCC's Tree Safety Officer and Highway Inspectors have completed surveys each summer of all its A and B roads and in some years, some of its more heavily used C roads. This approach has become embedded in how CCC operates, and it is supported by regular refresher training for relevant officers in tree safety matters. CCC does not restrict itself to identifying only ash trees which pose a risk. As a result of its experience in managing Ash Dieback, CCC has develop its approach to managing the safety of all trees which may pose a risk to highway safety, regardless of species.</p><p>CRR190026/001 CCC's Tree Safety Officer carries out regular tree safety inspection of all CCC sites where they have been notified that there are trees. This include CCC's Safe Routes to School. A regular system of inspection, reporting and organising any necessary work is now integrated into CCC's working practices.</p><p>CRR190026/002 CCC's Tree Safety Officer ensures Highway Inspectors complete regular refresher training in Visual Tree Assessment – which the training use for tree safety assessment at this level. This is referenced in CCC's draft Tree and Woodland Strategy. This training refers to the safety of all trees adjacent to the highway, not just ash trees.</p><p>CRR190026/003 The regular inspection of roadside trees is now integrated into the way Highways operate. This approach is consistent with the Code of Practice - Well Manged Highways (Well Manged Highway Infrastructure Code of Practice (UK Roads Liaison Group 2017)</p><p>CRR190026/004 Training is now integrated into the Departmental training plan.</p><p>CRR190026/005 The provisions of the Highways Act enable CCC to notify landowners of trees which pose a risk to the Highway. Following the training described above, and with the support of CCC's Tree Safety Officer, Highway Inspectors use this provision of the Act for all trees which pose a risks to the highway, not just ash. This system is regularly used for ensuring that diseased ash trees are removed in a timely manner. In addition, CCC keep the information on its web pages, that are relevant to tree safety, up to date</p></div></div></div> <td>Feb-23</td> <td></td> <td></td> <td></td> <td></td>	Feb-23				
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## Risk Register - Carmarthenshire Corporate Risk Register

Corporate Management Team

Tudalen 166

<div><div>• Departmental Review for CMT 02/03/2023</div><div><p>The current risk rating should remain at Medium 12 (the Impact remains Substantial 4, and possibility at Possible 3).</p><p>The Education service will be severely disrupted due to any proposed cuts in the education service budget. The department will have to identify what services need to be reduced and what services can no longer be delivered. This will be reflected in the Risk score of the next update on conclusion of the Budget Consultation process.</p><p>The Departments work on our Service Evaluation and individual Service reviews coupled with Estyn school inspections and our quality assurance in school's success indicates that the possibility of failure to deliver a quality Education Service has reduced. However, it has been noted at the start of Autumn term that there are wellbeing issues in schools amongst the children and staff. This remains a concern going forward.</p><p>Attendance in our schools also remains below the Welsh average. This may be linked to the difficulties arising from the pandemic, but Scarlet Fever has also had an extensive effect. Attendance in January improved for most schools, and overall, compared to both December 2022 and the same period last year, however the overall figure remains below the pre-COVID benchmark of 90%. Education Services and Children's Services will continue to work to link together to tackle all wellbeing issues.</p><p>Standards at each key stage remain high but current exams and assessments measures based on summer 2022 still covers a period affected by the pandemic. Following WG guidance, Standards are also moving away from attainment and toward progress and wellbeing. While we await a national set of measures for progress and wellbeing, we are currently reflecting progress based on Education Support Advisors conversations with schools and evidence of individual progress during the academic year.</p><p>The majority of schools feel that they are supported appropriately in curriculum reform, with particular strengths in certain key areas such as Digital Learning and Foundation Phase Learning. However, the regional professional learning offer needs to strengthen. The ECS department continues to work robustly with Partneriaeth to ensure that the professional learning offer in relation to the curriculum meets the needs of all our schools.</p><p>Our ability to support ALN reform has been impacted by the Authority being unable to secure funding for the statutory posts of Designated Coordinators. This means that the LA will not be able to transfer pupils from existing statements to new IDPs. This will mean that the LA will miss statutory deadlines, leading to appeals and tribunals against the LA.</p><p>The Vulnerable Learners Strategic Focus Group draws together all officers and services involved with supporting vulnerable learners to provide a supportive structure to provide appropriate support for all vulnerable learners. Therefore, the department is able to provide a wide range of effective mechanisms of support and deploys its resources well in support of the bespoke needs of all vulnerable learners. The LA's integrated approach caters very well for the full range of needs, making provision that supports all categories of identified vulnerable pupils as well as providing universal provision, targeted intervention and additional learning provision for those identified and those who may be at risk of becoming vulnerable.</p><p>The Sustainable Communities for Learning (formally Modernising Education Programme) is currently undertaking a review in order to re-invigorate the 21st Century School Programme.</p></div></div>	Feb-23				
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Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190046	Covid19 - Strategic Failure to ensure the expected progress and outcomes of all Carmarthenshire learners for the period that operation of schools and learning establishments are affected by the pandemic	Director of Education & Children Services				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190046/001	We will work closely with schools to monitor wellbeing, progress and outcomes of all learners		Director of Education & Children Services / Head of Education & Inclusion	Significant	High	
CRR190046/002	We will plan for seamless transition from delivery to distance learning when required for all learners		Head of Curriculum and Wellbeing	20	12 Substantial Possible	
Action Items						
Departmental Review for CMT - 02/03/2023  The current Risk Rating should remain at 12 Medium (Substantial 4, Possible 3). This is due to a reflection on current data, see below, and the output from the Departmental Service Review. There has also been a reduction in schools being affected by the pandemic with a reduction in Covid positive cases in learners and staff and a reduction in the likelihood for another lockdown. Transition to virtual learning, when required, has become smoother and most school support services have returned to normal delivery. However there remains a possible risk due to ongoing wellbeing issues experienced by both staff and pupils due to the pandemic. School attendance is currently below the Welsh average which may be an outcome of wellbeing issues but this has also been adversely effected by Scarlet fever during the Autumn term. This summer's exam results were at the end of an academic year (2021 22) which covers the last two years study affected by the pandemic. GCSE 2022: <ul style="list-style-type: none"><li>Overall outcomes for GCSE are higher than 2019 when exams were last sat, but lower than 2021, when we had CDGs.</li><li>Grading broadly reflects a midway point, between 2019 and 2021, reflecting the national data.</li><li>In 2022 Carmarthenshire outcomes are higher than the Welsh averages at A* A grades as well as at A* C grades.</li></ul> A Level 2022: <ul style="list-style-type: none"><li>Overall outcomes at A Level are higher than 2019 when exams were last sat, but lower than 2021, reflecting national trends.</li></ul> Therefore, outcomes have remained at a high standard. Summer 2023 exam results will give an indication as to whether there are any lasting effects of the pandemic to learner outcomes.		Feb-23				



Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To			
CRR190029	Net Zero Carbon Failure to deliver the Council's commitment to become a net zero carbon local authority by 2030	Director of Place & Infrastructure/Head of Place and Sustainability			
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating Previous Rating since 22/11/2022
CRR190029/001	The Council has adopted a realistic, pragmatic and achievable approach in its Net Zero Carbon Plan.		Head of Place & Sustainability	Significant 20	High 12 Substantial Possible
Action Items					
Departmental Review for CMT – 02/03/2023 February 2023 Update (Rhodri Griffiths/Kendal Davies)  Maintain existing rating • Non-domestic buildings account for ~70% of our reported carbon emissions. Consequently, Ameresco, our Re:Fit Cymru service provider, are currently producing a High Level Appraisal of 30+ sites to establish £ spend required to carry-out comprehensive energy conservation measures to help achieve our NZC commitments. They are also currently completing assessments funded under Welsh Government’s low carbon heating feasibility grant. This work will be developed into a Phase 2 project to be delivered in 2023/24.		Feb-23			

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190009	Deliver Effective Safeguarding Arrangements - Children (Detail in separate Safeguarding Risk Register)	Head of Children Services				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190009/002	Develop implement and regularly monitor effective safeguarding policies and procedures for Children's Services		Head of Children Services	Significant	High	
CRR190009/003	To have a sound procedure for professional abuse allegations effectively promptly and correctly		Head of Children Services	25	10	
CRR190009/004	To respond appropriately to Regulators reports and recommendations		Head of Children Services		Catastrophic	
CRR190009/005	To proactively monitor adequate procedures are being effectively operated by third party providers		Head of Children Services		Unlikely	
CRR190009/006	Ensure sexual exploitation Risk Assessments (SERAFs) and Missing Persons Risk Assessments are completed as required		Head of Children Services			
CRR190009/010	New arrangements implemented for our leaving care services in accordance with the Social and Well-being Act 2014		Head of Children Services			
Action Items						
Tudalen 170						

<div><div>• Departmental Review for CMT - 02/03/2023</div><div><p>The Risk Rating remains High, the impact of failing to deliver effective safeguarding remains Catastrophic 5. Circumstances have not changed since the last review and therefore the probability remains Unlikely 2.</p><p>The corporate parenting panel has had their first meeting with new council members. The corporate parenting strategy is due for review and will need to be re written with new targets based on more specific corporate parenting expectations placed on councils and specifically education, housing, community and leisure services. There is an increase in the number of looked after children. There is an increase in the number of children requiring specialist residential care. There is a reduction in the number of foster carers able to provide care for our looked after children in their own communities. There is an increase in the number of children being temporary excluded from schools or without a school placement. The new corporate parenting strategy will have to ensure that there is commitment to sufficient resources to fulfil the local authority's corporate parenting responsibilities effectively.</p><p>Regular MALAC (Multi Agency Care Management meetings) and CYSUR Audit and Evaluation Meetings have continued to take place virtually to ensure the council fulfils its corporate parenting role and progress is monitored as part of the Corporate Parenting Strategy. Service Managers continue to carry out monthly audits and assessments, plans and reviews. Internal inspection is carried out within the Internal Audit and Evaluation sub group of the Safeguarding Board.</p><p>There is a sound procedure for professional abuse allegations to be dealt with effectively, promptly and correctly. We continue to ensure the regional threshold and multi agency child protection arrangements are working effectively.</p><p>All regulatory reports and recommendations are included in business planning and monitored quarterly.</p><p>We continue to ensure that appropriate Safeguarding measures are included in all Third Party contracts.</p><p>Sexual Exploitation Risk Assessments (SERAFs) are regularly monitored via the Childrens Safeguarding Audit and Evaluation Group and the Multi Agency Operational Group.</p><p>Schools are required to undertake a School Safeguarding Review to identify effective practice and challenges. Not all schools have completed and submitted their reviews, 15 schools have not completed, some due to specific staffing issues with school leadership, Education Support Advisors 's are aware. All Safeguarding Training for schools is currently up to date and all within timescales including Governors' training.</p></div></div>	Feb-23				
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Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190023	The post Brexit Settlement	Economic Development Manager				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190023/005	Decrease in external funding due to new SPF regimes		External Funding Manager	High	Medium	
CRR190023/001	Officer/Member Working Group with representations from all council services		Economic Development Manager	12	9	
CRR190023/002	Review all services/plan contingencies		Economic Development Manager		Significant	
CRR190023/003	Follow advice from Welsh Government and WLGA		Economic Development Manager		Possible	
CRR190023/004	Communications with residents and businesses		Economic Development Manager			
Action Items						

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk RefRisk Title		Assigned To				
CRR190058	SAC Phosphate & NRW Interim Planning Advice	Director of Place & Infrastructure/Head of Place and Sustainability				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190058/001	Identify and triage "major" applications and those related to the Council's Covid Recovery Strategy along with those with grant related potential - identify opportunities for consideration where available.		Head of Place & Sustainability	Significant 20	Medium 9	
CRR190058/002	Lobby and work with WG/NRW to get clarity around the scope of the requirements resulting from the Interim Advice to ensure that the authority can progress with determinations whilst still meeting its duties as a Competent authority in relation to the Habitat Regulations		Head of Place & Sustainability		Significant Possible	
CRR190058/003	Stakeholder Engagement - Instigate a communication and awareness raising programme reaching out across all sectors to ensure the implications are known and to develop an understanding of shared ownership and solution finding in addressing the issue		Head of Place & Sustainability			
CRR190058/004	Developer and Applicant Guidance - Preparation of a guidance pack for applicants and developers on the type and application of mitigation in relation to proposals impacted by the NRW guidance		Head of Place & Sustainability			
CRR190058/005	Develop a Catchment based Phosphate Calculator - Develop and implement including NRW endorsement. Calculator would enable the phosphate loading from any given development to be understood and consequential mitigation/compensation schemes to be identifiable.		Head of Place & Sustainability			
CRR190058/006	Specialist Legal and Ecological Support - Ensure decision making is supported by robust interpretations of the Council's duties and of the NRW guidance including identifying opportunities to refine the scope of the guidance and our understanding of the types of development that may be permissible.		Head of Place & Sustainability			
CRR190058/007	Provide a dedicated and continually refreshed webpage to set out the latest information and any updated guidance. To include also provide guidance for planning applicants, businesses and other interested parties - ensuring support and information is available.		Head of Place & Sustainability			
CRR190058/008	Collaborate across sectors on developing an understanding of the issues and in establishing solution based approaches.		Head of Place & Sustainability			
Action Items						

## Carmarthenshire Corporate Risk Register

## Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

<ul style="list-style-type: none"> <li>• Departmental Review for CMT – 02/03/2023 February 2023 Update (Rhodri Griffiths/ Ian Llewelyn)</li> </ul> <p>Maintain existing risk rating.</p> <p>Control measure updates</p> <p>CRR190058/002 – Revisions to the NRW Guidance delivered through lobbying and collaborative working on additionality on over night accommodation e.g. uses not generating overnight use e.g. employment, schools, appropriate health and social care may where appropriate be permitted. Planning applications for Extensions also being determined.</p> <p>CRR190058/003 – Stakeholder working group being established as part of and to support the work of the three NMBs.</p> <p>CRR190058/004 – Mitigation Guidance has been published and is being accessed by developers and planning applicants in identifying potential options for mitigation.</p> <p>CRR190058/005 – A phosphate calculator is in operation and available on the Councils website. This is being improved to operate on a catchment basis the Cleddau, Teifi and Tywi Catchments based on the cross-border work through the NMB. We are also supporting and providing guidance to NRW on the development of an all-Wales calculator noting our experience as the only authority in Wales to develop and operate a calculator.</p>	Feb-23		
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Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190014	Delivery of the Pentre Awel Project (Outcomes / Budget)	Chief Executive				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190014/001	Project Board is operational with suitable governance and representative membership		Chief Executive	Significant	Medium	
CRR190014/002	Development of Zones 1-4 of Pentre Awel consisting of business, education and skills, research and clinical delivery and leisure facilities (Zone 1), assisted living (Zones 2 and 3), affordable and social housing (Zone 2) and hotel and open market housing (Zone 4)		Chief Executive	16	8 Substantial Unlikely	
CRR190014/003	Financial Planning		Director of Corporate Services			
Action Items						
Departmental Review for CMT - 02/03/2023		Mar-23				
A comprehensive governance structure is in place with representatives from all partners engaged in appropriate work groups. The governance structure takes account of the reporting structure within Carmarthenshire County Council, City Deal and as appropriate partners. The governance structure reflects the build phase of the project and incorporates a management framework for construction delivery and for the oversight of delivery of Community Benefits.						
During the previous reporting report, Cabinet and Full Council approval was obtained in January 2023 to proceed to the construction stage based upon an expected contract sum. In February 2023, CCC and BYUK finalised and entered into a NEC3 Construction Contract. This is a significant milestone for the project that mitigates some of the previously highlighted risks around budget, cost certainty and programme. The contract will be administered by Gleeds Management Services with Gleeds Cost Management providing the cost control/management function.						

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190060	Critical Authority wide IT systems	Head of ICT & Policy				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190060/001	Main server and backup server at different sites		Head of ICT & Policy	Significant	Medium	
CRR190060/002	Microsoft database SQL expertise in IT department		Head of ICT & Policy	20	8	
					Substantial	
					Unlikely	
Action Items						
Departmental Review for CMT - 02/03/2023		Mar-23				
This risk remains at medium. We continue to work with departments to look at potential cloud hosted options for systems where practical. IT Systems hosted on-premiss are housed in our data centres located in Carmarthen and Ammanford providing redundancy should a DR situation occur. Recent DR tests have been undertaken to test this which have been successful.						



Carmarthenshire Corporate Risk Register

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Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190010	Deliver Effective Safeguarding Arrangements - Vulnerable Adults	Director of Communities				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190010/001	Representation at the Regional Board		Director of Communities	Significant	Medium	
CRR190010/002	Implementing effective safeguarding policies and procedures for vulnerable adults		Director of Communities	16	8	
CRR190010/003	Monitoring the performance of safeguarding within adult services		Director of Communities		Substantial	
CRR190010/004	Responding to regulators reviews and recommendations		Director of Communities		Unlikely	
CRR190010/005	Monitoring of third party providers to ensure safeguarding procedures are being effectively operated		Director of Communities			
CRR190010/006	Robust process for professional concerns and increase staffing resource to respond to increasing demands		Director of Communities			
Action Items						
Departmental Review for CMT - 02/03/2023		Feb-23				
Carmarthenshire continues to be represented on the Regional Safeguarding Board and associated subgroups. There is now a merged practiced review group for Adults and Children which is chaired by Dyfed Powys Police. The process for managing and tracking reviews and recommendations is managed by a dedicated post in the Regional Safeguarding Team.						
Performance in relation to safeguarding is consistent despite an increase in the number of referrals and complexity. There are no outstanding actions to respond to in terms of regulatory requirements.						
Carmarthenshire continues to lead I on strategic developments in relation to Violence Against Women, Domestic Abuse and Sexual Violence (VAWDASV) Suicide and Self harm prevention is now a priority for the Safeguarding Board and Carmarthenshire Safeguarding Operational group.						
A regional multi steering group chaired by the Head of Adult Social Care is piloting an immediate response to suicide, this is being progressed on a local authority footprint as part of the safeguarding arrangements. The Corporate Safeguarding Group has revised its Terms of Reference and Safeguarding Policy. Within the HR department, an officer has been appointed to ensure the council has safe recruitment and is working closely with the Corporate Safeguarding Group in this regard.						



Risk Ref	Risk Title	Assigned To				
CRR190006	Ensuring effective People Management (including interpreting changes in HR legislation, capacity and compliance with Employment Law and Health & Safety Legislation)	Assistant Chief Executive				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190006/001	Competence based recruitment, assessment centres for recruitment of key roles, induction training, coaching and mentoring, appraisals and supervision, probationary policy		Assistant Chief Executive	Significant 16	Medium 8	
CRR190006/002	Development of Employment Policies and briefings and training, audit and monitoring		Assistant Chief Executive		Substantial Unlikely	
Action Items						
Departmental Review for CMT - 02/03/2023  The H&S team has re focussed its work from Covid to ensure all health and safety risks are identified managed effectively.  In terms of HR – a comprehensive work programme is in place; we have reviewed a range of policies to align with the Better Ways of Working project and developed new Hybrid Working guidance with online resources to support Managers and their teams who are moving to a hybrid way of working.  More recently we have undertaken an Employee Engagement Survey, the results of which will: a) be used to improve how engaged our workforce is and b) act as an annual benchmark for improvement.  The recent IIP review has concluded, and we have been awarded the Gold standard – with many of the themes sitting in the Platinum range, which puts us in a good place to further improve.  No new legislation on the horizon although we are keeping a watching brief on the Exit Pay cap.		Feb-23				

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190022	Manage and Develop Cwm Environmental & Llesiant Delta Wellbeing	Corporate Management Team				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190022/001	Governance arrangements incl management and Councillor representation on Shareholder/Governance Boards		Corporate Management Team	Significant	Medium	
CRR190022/002	Compliance with Companies Act and relevant legislation		Corporate Management Team	16	8	
CRR190022/003	Financial Planning Financial Reporting arrangements Audit programme		Corporate Management Team		Substantial	
CRR190022/004	Training to be arranged for Directors		Corporate Management Team		Unlikely	
Action Items						
Departmental Review for CMT - 02/03/2023		Mar-23				
A review of the Governance arrangements for both Local Authority Trading Companies with a view to aligning the arrangements and clarifying roles of Members and Scrutiny Committees in relation to Local Authority Trading Companies is being led by Linda Rees Jones and is now nearing completion and will shortly be reporting to Cabinet. Governance reporting through to Scrutiny and training for Directors was discussed at the CWM shareholders meeting in January 2023. The outcome was that this would be incorporated into the review being led by Linda Rees Jones.						

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager Corporate Management Team

Risk Ref	Risk Title	Assigned To					
CRR190007	Ensuring effective management of Procurement / Contract Management and Partnership arrangements		Head of Revenues & Financial Compliance				
Control Measures			Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190007/002	Participation in the WLGA Heads of Procurement Forum			Head of Revenues & Financial Compliance	Significant	Medium	
CRR190007/003	New Procurement Strategy developed and approved in April 2018			Head of Revenues & Financial Compliance	16	8	
CRR190007/005	TIC Expenditure Stream			Head of Revenues & Financial Compliance		Substantial	
CRR190007/006	Economic Recovery Plan / Progressive procurement approach - agreed and signed off by CMT, P&R, Scrutiny and Cabinet			Head of Revenues & Financial Compliance		Unlikely	
Action Items							
Departmental Review for CMT - 02/03/2023			Feb-23				
The Procurement Strategy is currently being updated with the aim of having this in place for 2023. Contract management guidance and an accompanying eLearning module and introductory video are now live on the Procurement intranet pages. These will be promoted in numerous places including the staff newsletter in forthcoming weeks.							


Risk Ref	Risk Title	Assigned To				
CRR190012	Failure to adhere to an effective Corporate Governance Framework	Head of Revenues & Financial Compliance				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190012/001	Corporate Governance Group		Head of Revenues & Financial Compliance	Significant	Medium	
CRR190012/003	Annual Governance Statement		Head of Revenues & Financial Compliance	16	8 Substantial Unlikely	
Action Items						
Departmental Review for CMT - 02/03/2023  The Corporate Governance Group continue to meet. The Annual Governance Statement Action Plan is reported on a quarterly basis to Governance and Audit Committee with an overview of the actions.		Feb-23				

Risk Ref	Risk Title	Assigned To			
CRR190051	Covid19 - Strategic Failure to recover from the COVID19 impact and non delivery of departmental objectives	Chair - Silver Recovery			
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating Previous Rating since 22/11/2022
CRR190051/001	Silver Recovery Group		Chair - Silver Recovery	Significant 16	Medium 6
CRR190051/002	Performance Management Framework quarterly reporting & monitoring to CMT		Chair - Silver Recovery		Moderate Possible
Action Items					
Departmental Review for CMT - 02/03/2023  Risk rating kept at Medium (6): Moderate (2) for Impact, and Possible (3) for Probability. Silver and Gold Command remain as stood down. Seasonal variances, especially leading into Winter months) continue to be monitored for any triggers that could lead to patterns of concern or new waves of infection. Operationally, the organisation and other public service partners are more resilient with established systems and procedures in place to mitigate this risk, as we all learn to live with Covid.		Feb-23			

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190040	Covid19 - Strategic Availability of Personal Protective Equipment (PPE)	Director of Communities				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190040/001	Procurement arrangements in place for PPE		Director of Communities	Significant	Medium	8 
CRR190040/002	Central controlled stock arrangements in place		Director of Communities	25	6 Moderate	
CRR190040/003	Stock management is robust to ensure correct level of supply and use		Director of Communities		Possible	
Action Items						
Departmental Review for CMT - 02/03/2023  CCC still has adequate access to PPE, and no supply chain issues. There is still a number of infections running through homes, and its important that homes continue to have PPE available in the short term. Will continue to review the situation with the current PPE store. Risk continues to reduce over time as market stabilises for PPE supplies. Previous risk rating was Substantial / Unlikely = Medium 8.		Feb-23				



# Carmarthenshire Corporate Risk Register

## Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To			
CRR190063	Failure in Determination of Major Planning Applications (Failure to determine major planning applications within timescale is adversely impacting on our ability as an Authority to achieve our regeneration ambitions )	Head of Place & Sustainability			
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating
CRR190063/001	A dedicated officer and support staff have commenced work on 'Major Projects' that support the county's economic recovery plan outputs and aspirations		Head of Place & Sustainability	Significant	Medium
CRR190063/002	Establish a Corporate Major Projects Group comprising council officers representing the range of services involved in development proposals, e.g. Planning, Regeneration, Highways & Legal (but not limited to). Priority focus to be afforded to projects that deliver jobs and growth in support of the Council's economic recovery plan. This will be led by the Head of Regeneration.		Head of Regeneration	20	6
CRR190063/003	Protocol to be developed covering applications for major development projects (schemes above 10 residential units or 1,000 m² of commercial development) – setting out how we will engage with applicants / developers, with clarity and commitment on the process(es) we will adopt to provide a quality and efficient planning process. Protocol will include, and clearly articulate, the programme activities, timescales and responsibilities that will support CCC's protocol and commitment to determine major applications.		Head of Place & Sustainability		Moderate
CRR190063/004	Consideration to be given to whether a Planning Performance Agreement (PPA) should be entered into with applicants for major development projects. PPA would set out set out the scope and timetable for pre-application engagement and subsequent submission and determination of the planning application. Possible useful project management tool that would be bespoke to each development, requiring commitment from both parties – applicant and LPA.		Head of Place & Sustainability		Possible
Action Items					
Departmental Review for CMT – 02/03/2023 February 2023 Update (Rhodri Griffiths(Hugh Towns)  Control measure updates • CRR190063/004 – The Authority is actively exploring the potential for Planning Performance Agreements to ensure major development is delivered in a timely manner. We currently have 36 major applications under consideration (24 for major housing schemes and 12 for major non-housing projects). Six are awaiting S106 Agreements being completed. Four have been received and 3 determined since the last update. All control measures are in place and consider removing this from the register.		Feb-23			

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

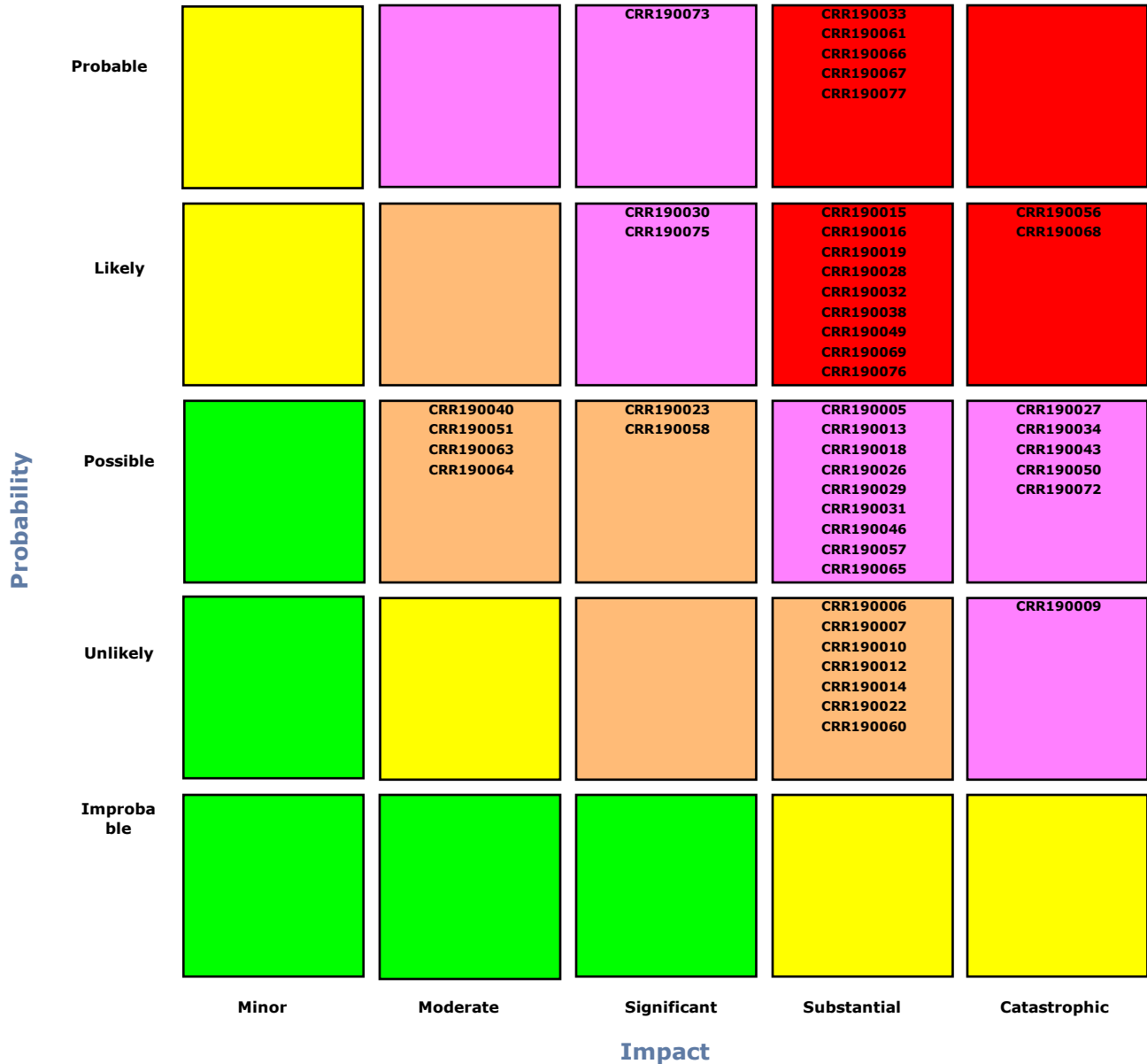
Manager Corporate Management Team

Risk Ref	Risk Title	Assigned To				
CRR190064	Failure to address Significant performance issues in development management are undermining effective service delivery. (Significant backlog of undetermined planning applications, significant caseload in planning enforcement, timeliness of validation process, and lack of performance monitoring. )	Head of Place & Sustainability				
Control Measures		Review Date	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 22/11/2022
CRR190064/001	Planning Hwb to act as a single point of contact for Development Management and Enforcement queries.		Head of Place & Sustainability	Significant	Medium	
CRR190064/002	Develop, review and implement processes relating to the determination of planning applications.		Head of Place & Sustainability	20	6	
CRR190064/003	Develop, review and implement protocols and polices to ensure improved consistency and approach in determining planning applications.		Head of Place & Sustainability		Moderate Possible	
CRR190064/004	Develop a comprehensive suite of performance measures to ensure the Service can be held to account.		Head of Place & Sustainability			
CRR190064/005	Embed robust performance and case management within the Service to ensure effective performance management and improved performance.		Head of Place & Sustainability			
CRR190064/006	Review Scheme of Delegation and Planning Protocol and seek approval at CRWG/Full Council.		Head of Place & Sustainability			
CRR190064/007	To focus on positive recruitment and retention practices to motivate and sustain the workforce in order that we maintain a sufficient workforce and one that is equipped to perform their work requirements.		Head of Place & Sustainability			
CRR190064/008	Re-Design and develop a customer focused Planning section within the Corporate website.		Head of Place & Sustainability			
Action Items						
Tudalen 186						

<div><div><div>• Departmental Review for CMT – 02/03/2023</div><div>February 2023 Update (Rhodri Griffiths Hugh Towns)</div></div><div><div>Control measure updates</div><div>CRR190064/001 – Action completed</div><div>CRR190064/002 – Action Completed</div><div>CRR190064/003 – Action Completed</div><div>CRR190064/004 – Action Completed</div><div>CRR190064/005 – Action Completed</div><div>CRR190064/006 – Action Completed</div><div>CRR190064/007 – Ongoing</div><div>CRR190064/008 – Ongoing</div><div>PAM18 Performance indicator stands at 89.3% cumulative for 2022-23, far in excess of the Welsh Government target of 80%</div><div>Consider removing this item from the risk register.</div></div></div>	Feb-23				
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# Carmarthenshire Corporate Risk Register Heatmap



## Detailed Risk Information

Current Risk Rating	Risk Ref	Details	Assigned To
20	CRR190033	Flood - Operational Risk The physical effects of more frequent and intense storm conditions that compromise and stretch our operational ability to respond to widespread and prolonged emergencies both in the immediate response phase and recovery phase of a flood event, whilst also maintaining normal services. This will also include the risk of managing the public's expectation as the Council cannot respond to all requests for help during storm conditions. Response is curtailed by the resources available and the priorities at the time.	Director of Place & Infrastructure
20	CRR190056	Ensuring that the Authority effectively manages its financial resources and responds to the challenges of reduced funding (formerly CRR190004)	Director of Corporate Services/Head of Financial Services

## Detailed Risk Information

Current Risk Rating	Risk Ref	Details	Assigned To
20	CRR190061	Effect of Covid-19 and Brexit on recruiting and impact of workforce planning	Assistant Chief Executive
20	CRR190066	Insufficient numbers of social work and care staff to provide sufficient assessment and care capacity which provides a risk to vulnerable people in not having needs assessed and being unsupported and potentially unsafe in the community.	Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning
20	CRR190067	Lack of availability of domiciliary care to support vulnerable adults which leads to the risk of people being unsupported and potentially unsafe in the community, as well as people being delayed leaving hospital preventing others being able to access urgent medical treatment.	Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning
20	CRR190068	Continued deterioration of the condition of highways infrastructure and assets. Failure to address maintenance backlog (£38 million), as a consequence of falling investment levels leading to high levels of demand. Increased level of claims.	Director of Place & Infrastructure/Head of Transportation & Highways
20	CRR190077	Significant operational pressures within the Fleet Services unit including a difficulty to retain or recruit skilled technicians and technical support staff, as well as vehicle supply chain pressures (hire/lease/purchase) combined with escalating parts, materials costs and fuel costs.	Director of Place & Infrastructure/Head of Transportation & Highways
16	CRR190015	Delivery of the Approved Capital Programme (Outcomes / Budget)	Director of Corporate Services
16	CRR190016	Delivery of the Authority's Waste Management and Recycling Strategy to ensure that we meet our statutory recycling targets and wider obligations including improvements to the quality of recyclable materials to support circular economy principles and reduce carbon outputs in accordance with Welsh Governments Beyond Recycling national strategy	Head of Waste & Environmental Services
16	CRR190019	Failure to ensure that schools effectively manage their resources and respond to the challenges of reduced funding	Director of Education & Children Services
16	CRR190028	School Leadership - Our ability to recruit and retain high quality and resilient school leaders who can respond to and deal with the transformation of education in Wales	Director of Education & Children Services
16	CRR190032	Flood - Strategic Risk The physical effects of more frequent and intense storm conditions that compromise homes, businesses, essential infrastructure and services. This will also include the risk of managing the public's expectation that the Council can completely address, control and mitigate all flood risks regardless of source or asset owner.	Director of Place & Infrastructure
16	CRR190038	Covid19 - Strategic Increase in levels of anxiety which is directly affecting mental health. Health and wellbeing of staff and the public	Assistant Chief Executive
16	CRR190049	Risk of local business and economy not recovering from the lockdown and rises in energy and inflation	Head of Regeneration

## Detailed Risk Information

Current Risk Rating	Risk Ref	Details	Assigned To
16	CRR190069	Contractor and internal capacity issues leading to a high backlog of housing responsive repairs and housing voids which reduces the number of homes available to let and a delay in repairs being completed.	Director of Communities
16	CRR190076	Failure to secure the full extent of home-to-school transport services from third party providers due to a range of economic and market specific issues including increasing fuel costs, driver and maintenance technician shortages across the industry, supply market challenges (vehicles and parts) and an increasing complexity in demand management.	Director of Place & Infrastructure/Head of Transportation & Highways
15	CRR190027	Fraud & Corruption The cost of fraud to the Welsh Public Sector is estimated to be in the region of between £100million and £1billion annually (as reported by the WAO)	Head of Revenues & Financial Compliance/Director of Corporate Services
15	CRR190034	Cyber Risk such as: - Ransomware or malware infection - Denial of Service Attack (DOS) - Unauthorised network access (hacking) - External and Internal - Phishing Email Attack - staff approach - Increased risk of cyber crime due to phishing and malware attacks exploiting Covid-19	Head of ICT & Policy
15	CRR190043	Post Covid19 - Strategic Financial Implications - loss of income Financial implications - increased costs due to Covid-19 demands and compliance with Cabinet and Welsh Government instructions	Director of Corporate Services/Head of Financial Services/Head of Revenues & Financial Compliance
15	CRR190050	Risk of contractor and suppliers failing to deliver projects/schemes, because of highly volatile macro economic conditions and inflation/disruption to suppliers, service goods and materials, which has an impact of the non-delivery of capital works.  - Failure to meet grant expenditure conditions. - contractors resources depleted - contract failure - cost increases - sourcing materials - Contractors unwilling to carry out work at framework prices	Director of Place & Infrastructure
15	CRR190072	Deterioration of the Council's School and Non-School buildings due to the lack of building surveys.	Director of Place & Infrastructure / Property Maintenance Manager
15	CRR190073	Ensure effective Business Continuity Plans across the Authority.	Corporate Management Team
12	CRR190005	Ensuring effective management of Grant Funding (including accessing Grant Funding) Threat of having to repay significant Grant monies. Failure to manage grants and maximise on the funding resources available Failure to secure funding Failure to deliver current projects within the set timescales Failure to deliver outputs in line with the T&Cs of grant paying department	Director of Corporate Services
12	CRR190013	Delivery of the City Deal (Outcomes / Budget)	Corporate Management Team

## Detailed Risk Information

Current Risk Rating	Risk Ref	Details	Assigned To
12	CRR190018	Failure to deliver a quality Education Service	Director of Education & Children Services
12	CRR190026	Ash die back and the risk to public safety	Head of Place & Sustainability
12	CRR190029	Net Zero Carbon Failure to deliver the Council's commitment to become a net zero carbon local authority by 2030	Director of Place & Infrastructure/H ead of Place and Sustainability
12	CRR190030	Risk to social care delivery/business continuity in relation to in-house and externally commissioned domiciliary care, residential care and day services due to fluctuating instances of Covid-19 transmission across the workforce and associated staff absence.	Director of Communities
12	CRR190031	Failure to comply with the requirements of the Local Government and Elections (Wales) Act	Corporate Management Team
12	CRR190046	Covid19 - Strategic Failure to ensure the expected progress and outcomes of all Carmarthenshire learners for the period that operation of schools and learning establishments are affected by the pandemic	Director of Education & Children Services
12	CRR190057	Maintain and develop an effective Local Development Plan	Head of Place & Sustainability
12	CRR190065	Failure to determine or secure Extension of Time (EOT) for Planning applications which are outside the determination date. Current risk in relation to the repayment of the planning fee applicants where a planning application is over time (not been determined within the determination date) or has not been subject to an agreed EOT.	Head of Place & Sustainability
12	CRR190075	Continuing to improve the way we respond to the current pressures on Homeless Services through innovative working practices, support, flexibility and investment. Failure to do so will result in us not meeting housing need, increasing homelessness, an unsustainable service and residents not having the right home at the right time.	Director of Communities
10	CRR190009	Deliver Effective Safeguarding Arrangements - Children (Detail in separate Safeguarding Risk Register)	Head of Children Services
9	CRR190023	The post Brexit Settlement	Economic Development Manager
9	CRR190058	SAC Phosphate & NRW Interim Planning Advice	Director of Place & Infrastructure/H ead of Place and Sustainability
8	CRR190006	Ensuring effective People Management (including interpreting changes in HR legislation, capacity and compliance with Employment Law and Health & Safety Legislation)	Assistant Chief Executive
8	CRR190007	Ensuring effective management of Procurement / Contract Management and Partnership arrangements	Head of Revenues & Financial Compliance
8	CRR190010	Deliver Effective Safeguarding Arrangements - Vulnerable Adults	Director of Communities



## Detailed Risk Information

Current Risk Rating	Risk Ref	Details	Assigned To
8	CRR190012	Failure to adhere to an effective Corporate Governance Framework	Head of Revenues & Financial Compliance
8	CRR190014	Delivery of the Pentre Awel Project (Outcomes / Budget)	Chief Executive
8	CRR190022	Manage and Develop Cwm Environmental & Llesiant Delta Wellbeing	Corporate Management Team
8	CRR190060	Critical Authority wide IT systems	Head of ICT & Policy
6	CRR190040	Covid19 - Strategic Availability of Personal Protective Equipment (PPE)	Director of Communities
6	CRR190051	Covid19 - Strategic Failure to recover from the COVID19 impact and non delivery of departmental objectives	Chair - Silver Recovery
6	CRR190063	Failure in Determination of Major Planning Applications (Failure to determine major planning applications within timescale is adversely impacting on our ability as an Authority to achieve our regeneration ambitions )	Head of Place & Sustainability
6	CRR190064	Failure to address Significant performance issues in development management are undermining effective service delivery. (Significant backlog of undetermined planning applications, significant caseload in planning enforcement, timeliness of validation process, and lack of performance monitoring. )	Head of Place & Sustainability

Mae'r dudalen hon yn wag yn fwriadol

## CORPORATE RISK REGISTER IMPACT GRID

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

# STRATEGIC RISK REGISTER PROBABILITY GRID

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

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

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

Mae'r dudalen hon yn wag yn fwiadol

## Pwyllgor Llywodraethu ac Archwilio 17 Mawrth 2023

<b>BLAENRHAGLEN GWAITH Y PWYLLGOR LLYWODRAETHU AC ARCHWILIO</b>		
<b>Yr Argymhellion / Penderfyniadau Allweddol Sydd Eu Hangen:</b> I dderbyn yr adroddiad.		
<b>Y Rhesymau:</b> Blaenrhaglen Blynyddol i hysbysu'r Aelodau o'r Pwyllgor Llywodraethu ac Archwilio am yr eitemau agenda yw trafod am y flwyddyn 2022/23 a 2023/24.		
<b>Ymgynghorwyd â'r pwyllgor craffu perthnasol: NADDO</b>		
<b>Angen i'r Cabinet wneud penderfyniad: NAC OES</b> <b>Angen i'r Cyngor wneud penderfyniad: NAC OES</b>		
<b>YR AELOD O'R CABINET SY'N GYFRIFOL AM Y PORTFFOLIO:</b> Cyng. A Lenny		
<b>Y Gyfarwyddiaeth:</b> Gwasanathau Corfforaethol		
<b>Enw Pennaeth y Gwasanaeth:</b> Helen Pugh	<b>Swyddi:</b> Pennaeth Refeniw a Chydymffurfio Ariannol	<b>Rhif ffôn:</b> 01267 246223  <b>Cyfeiriad e-bost:</b> <a href="mailto:HLPugh@sirgar.gov.uk">HLPugh@sirgar.gov.uk</a>
<b>Awdur yr Adroddiad:</b> Helen Pugh		

**Executive Summary**  
**Governance & Audit Committee**  
**17 March 2023**

**Governance & Audit Committee Forward Work Programme**

To provide Members with a Forward Work Programme for the 2022/23 and 2023/24 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
<b>NONE</b>	<b>NONE</b>	<b>NONE</b>	<b>NONE</b>	<b>NONE</b>	<b>NONE</b>	<b>NONE</b>

## CONSULTATIONS

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

Signed: 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

Area	March 2023	July 2023	September 2023	December 2023	As and When Required
Governance and Assurance	Appointment of Chair and Vice-Chair				
	Progress Report - Delivery of External Recommendations				
	Annual Governance Statement for CCC* to be received		Annual Governance Statement for CCC to be approved		
	Receive minutes of relevant Groups, for noting	Receive minutes of relevant Groups, for noting	Receive minutes of relevant Groups, for noting	Receive minutes of relevant Groups, for noting	
					Single Tender Actions
Internal Audit	Annual Internal Audit Report				
	Internal Audit indicative 3-year plan				
	Internal Audit Plan - Progress Update	Internal Audit Plan - Progress Update	Internal Audit Plan - Progress Update	Internal Audit Plan - Progress Update	
	Progress Report - Delivery of Internal Audit Recommendations				
External Audit	Audit Plan for CCC and DPF**				
	AW Reports: Springing Forward (Asset Managament and Workforce Management)	AW Report: Time for change; poverty in Wales			
	Annual Audit Summary 2022				
	Audit Plan Update	Audit Plan Update	Audit Plan Update	Audit Plan Update	
	Financial Statements – ISA260 Report for CCC				
	Financial Statements – ISA260 Report for DPF				
	Annual Return - Burry Port Harbour				
	Letter of Representation - CCC				
	Letter of Representation - DPF				
	Finance	Statement of Accounts for CCC to be received		Statement of Accounts for CCC to be approved	
Statement of accounts for DPF to be received		Statement of accounts for DPF to be approved			

	Burry Port Harbour Accounting Statement to be received		Burry Port Harbour Accounting Statement to be approved		
			Audit Enquiries to those charged with governance for CCC and DPF		
Counter Fraud	Annual Anti-Fraud and Anti-Corruption Report				
Risk Management	Receive the Corporate Risk Register		Receive the Corporate Risk Register		
	Opportunity for Members to discuss Risks		Opportunity for Members to discuss Risks		
Performance	Annual Complaints Report (2021/22)		Annual Complaints Report (2022/23)		
	Ombudsman Letter				
	Carmarthenshire County Council Annual Report				
Strategies and Policies	Approval of Internal Audit Charter (every 2 years)				
				Approval of Financial Procedure Rules	
				Approval of Contract Procedure Rules	
Progress updates requested by the Committee					

Spring 2023		Summer 2023	Autumn 2023	Winter 2023
Training  Tudalen 204	G&AC Self-Assessment			
	Risk Management & Risk Appetite			
	Annual Corporate Report			
	Statement of Accounts & Annual Governance Statement			
	Meeting with the Auditors			

\* CCC = Carmarthenshire County Council  
\*\* DPF = Dyfed Pension Fund

**Pwyllgor Llywodraethu ac Archwilio**  
**17 Mawrth 2023**

COFNODION GRWPIAU PERTHNSAOL I'R PWYLLGOR LLYWODRAETHU AC ARCHWILIO		
<b>Yr Argymhellion / Penderfyniadau Allweddol Sydd Eu Hangen:</b> I dderbyn y cofnodion.		
<b>Y Rhesymau:</b> 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.		
<b>Ymgynghorwyd â'r pwyllgor craffu perthnasol: NADDO</b>		
<b>Angen i'r Cabinet wneud penderfyniad: NAC OES</b> <b>Angen i'r Cyngor wneud penderfyniad: NAC OES</b>		
<b>YR AELOD O'R CABINET SY'N GYFRIFOL AM Y PORTFFOLIO:</b> Cyng. A Lenny		
<b>Y Gyfarwyddiaeth:</b> Gwasanathau Corfforaethol		
<b>Enw Pennaeth y Gwasanaeth:</b> Helen Pugh	<b>Swyddi:</b> Pennaeth Refeniw a Chydymffurfio Ariannol	<b>Rhif ffôn:</b> 01267 246223 <b>Cyfeiriad e-bost:</b> <a href="mailto:HLPugh@sirgar.gov.uk">HLPugh@sirgar.gov.uk</a>
<b>Awdur yr Adroddiad:</b> Helen Pugh		

**Executive Summary  
Governance & Audit Committee  
17 March 2023**

**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:

- 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
<b>NONE</b>	<b>NONE</b>	<b>NONE</b>	<b>NONE</b>	<b>NONE</b>	<b>NONE</b>	<b>NONE</b>

## CONSULTATIONS

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

Signed: 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 GRANTS PANEL MEETING HELD ON 28 <sup>th</sup> NOVEMBER 2022 VIA TEAMS		
<b>PRESENT:</b>	Randal Hemingway, Head of Financial Services Caroline Powell, Principal Auditor, Internal Audit (IA) Nia Thomas, Chair of PWG, Education & Children (Revenue) Alan Howells, Chair of PWG, Environment Anwen Worthy, Audit Lead, Audit Wales Delyth Thomas, Grants Compliance Officer (GCO)	
<b>APOLOGIES:</b>	Stuart Walters, Chair of PWG, Chief Executive Les James, Chair of PWG, Communities Rhian Phillips, Economic Development Area Manager Helen Pugh, Head of Revenues & Financial Compliance Simon Davies, Chair of PWG, Education & Children (Capital) Helen Morgan, Economic Development Manager	
	SUBJECT	ACTION
1.0	<b><u>Minutes of the last meeting</u></b>	
	<ul style="list-style-type: none"> <li>Minutes were agreed.</li> </ul>	
2.0	<b><u>Matters Arising</u></b>	
	<ul style="list-style-type: none"> <li>The service level agreement with Hywel Dda Local Health Board (LHB) for Wanless (Money Transfers) is still with the Director of Community Services for signing.</li> </ul>	
	<ul style="list-style-type: none"> <li>The results of an exercise to review the audit requirements stipulated in the terms &amp; conditions of grants awarded to Education &amp; Children for 2021/22 has been forwarded to IA. The review of the 2022/23 audit requirements has been started.</li> </ul>	NT
	<ul style="list-style-type: none"> <li>Areas to be considered as part of the closure of the European grant funded projects to be presented to the next Grants Panel meeting.</li> </ul>	RP/DT
	<ul style="list-style-type: none"> <li>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.</li> </ul>	RP
	<ul style="list-style-type: none"> <li>The workshop outlining the new UK Subsidy Rules was attended by a number of senior officers from the Authority. It's acknowledged that the rules are complex.</li> </ul>	
	<ul style="list-style-type: none"> <li>Concerns were raised on the delays on the receipt of grant income from lead authorities where CCC is a partner. However following the last meeting</li> </ul>	

	SUBJECT	ACTION
	further grant monies have been received from the respective lead authorities.	
3.0	<p><b><u>Audit Wales - Update</u></b></p> <ul style="list-style-type: none"> <li>The update on the 2021/22 audit programme was provided: <ul style="list-style-type: none"> <li>Teachers Pensions (PEN05) – completed</li> <li>NDR3 (LA01) – due to be completed this week</li> <li>Housing Benefits (BEN01) – initial audit work completed, further detailed audit work to be undertaken in due course</li> <li>Pooled Budgets (HLG01) – audit at early stages</li> <li>WANLESS Money Transfers (HLG03) – awaiting working papers to commence audit</li> </ul> </li> </ul>	
4.0	<p><b><u>Internal Audit (IA) - Update</u></b></p> <ul style="list-style-type: none"> <li>The following audits on the 2021/22 grant funded projects have been completed: <ul style="list-style-type: none"> <li>Housing Support grant</li> <li>Pupil Development grant</li> <li>Regional Consortia Improvement grant</li> </ul> </li> <li>Concerns have been raised on the level of detail required for the 2022/23 audits for the Regional Consortia School Improvement grant and the Pupil Development grant. An email to be sent to Pembrokeshire County Council (PCC) as the administrative body for the Partneriaeth Consortia to clarify whether an assurance statement from the Director of Corporate Services or Head of Financial Services is acceptable based on previous audit work undertaken by IA.</li> <li>Further to an audit of the Housing Support grant it has been highlighted that there is an option to vire monies between this grant and the Children &amp; Communities grant, subject to WG approval. A reminder has been sent to the respective project managers.</li> <li>The audit of the LA Education grant is due to commence shortly.</li> </ul>	RH/CP

	SUBJECT	ACTION
	<ul style="list-style-type: none"> <li>IA has recently been externally quality assessed. One of the recommendations noted in the report is that the role of IA role at Grants Panel is reviewed and amended. This will be discussed in the next Grants Panel meeting.</li> </ul>	
5.0	<p><b><u>Grants Register 2022/23</u></b></p> <ul style="list-style-type: none"> <li>The grants register for 2022/23 is still being updated. It was noted that for some departments that grants information has not been forwarded to the GCO so that the grants register can be updated.</li> </ul>	Chairs of Project Working Groups
6.0	<p><b><u>Project Working Groups</u></b></p> <ul style="list-style-type: none"> <li>Minutes of PWG meetings were received: <ul style="list-style-type: none"> <li>Education &amp; Children (capital): 22/11/2022</li> <li>Education &amp; Children (revenue): 16/12/2021, 17/2/2021, 23/6/2022 &amp; 29/9/2022</li> <li>Communities: 21/9/2022</li> <li>Chief Executive: 29/7/2022 &amp; 20/9/2022</li> </ul> </li> <li>The following updates were provided: <ul style="list-style-type: none"> <li>Where grant award letters are signed by the Director of Corporate Services or Head of Financial Services that the respective project managers are copied into emails when returned to the funding body</li> <li>There are a number of Delegated Officer reports (DORs) that are prepared in Education &amp; Children Services that relate to grant funded projects. It's noted that it can take some time before the DOR reaches final approval stage which can have an impact on the delivery of a grant funded project</li> <li>The impact of the pay award on grant funded projects will need to be considered. Project Managers to evaluate potential areas of overspends. Any issues will need to be discussed with budget manager and/or Head of Service</li> </ul> </li> </ul>	Chairs of Project Working Groups

	SUBJECT	ACTION
7.0	<p><b><u>European Grants Update</u></b></p> <ul style="list-style-type: none"> <li>• A schedule of all current European grant funded projects was presented to Grants Panel. The total estimated project costs approved is still £49m with grant of £32m.</li> <li>• The Authority is still waiting for a revised approval letter from WEFO for Cross Hands Plot 3. The revised approval will include the additional project costs and the additional funding from WG.</li> <li>• A number of projects are currently undergoing a reprofile exercise: <ul style="list-style-type: none"> <li>○ Regional Engagement Team (ERDF &amp; ESF) – project extended to October 2023</li> <li>○ Celtic Routes – project to be extended to August 2023</li> </ul> </li> <li>• It's noted that all European funded projects will come to an end by October 2023.</li> <li>• 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 £1.6m grant income outstanding.</li> <li>• Cross Hands East Strategic Employment Site Phase 2 is one of 4 schemes in the Strategic Employment Sites European grant funded project led by the WG. The grant income outstanding to CCC for this scheme from WG is £700k. The project as a whole has hit the WEFO grant retention threshold. No further grant monies will be released from WEFO until a full closure exercise has been undertaken by them. Clarification to be sought whether the other schemes as part of the project have also had grant monies retained.</li> </ul>	DT

	SUBJECT	ACTION
8.0	<p><b><u>AOB</u></b></p> <ul style="list-style-type: none"> <li>It's noted that CMT have agreed that no new contracts for capital schemes should be entered into without explicit CMT approval.</li> </ul>	
9.0	<ul style="list-style-type: none"> <li>Date of next meeting – 9:30am on 3<sup>rd</sup> March 2023 via Teams</li> </ul>	

Mae'r dudalen hon yn wag yn fwriadol

# PWYLLGOR LLYWODRAETHU AC ARCHWILIO

**PRESENNOL** D.MacGregor (Cadeirydd) (Yn y Siambr)

### Cynghorwyr (Yn y Siambr):

K.V. Broom L. Davies

**Cynghorwyr (Yn rhithwir):**

K. Davies                      A. Evans                      A.G. Morgan                      P.T. Warlow  
D.E. Williams

### Aelodau Lleyg (Yn y Siambr):

J. James M. MacDonald

**Hefyd yn bresennol (Yn rhithwir):**

Y Cyngorydd A. Lenny, Aelod Cabinet dros Adnoddau  
N. Jenkins, Cynrychiolydd Archwilio Cymru

**Hefyd yn bresennol (Yn y Siambr):**

C. Moore, Cyfarwyddwr Gwasanaethau Corfforaethol  
A. Williams, Cyfarwyddwr Lle a Seilwaith  
H. Pugh, Pennaeth Refeniw a Chydymffurfiaeth Ariannol  
C. Powell, Prif Archwilydd  
G. Ayers, Rheolwr Polisi Corfforaethol a Phartneriaeth  
S. Rees, Cyfieithydd Ar Y Pryd  
J. Owens, Swyddog Gwasanaethau Democrataidd  
M. Runeckles, Swyddog Cymorth Aelodau

**Hefyd yn bresennol (Yn rhithwyr):**

D.W. John, Pennaeth Gwasanaethau Gwastraff ac Amgylcheddol Dros Dro  
M.S. Davies, Swyddog Gwasanaethau Democrataidd

**Siambr - Neuadd y Sir, Caerfyrddin. SA31 1JP ac o bell - 10.00 - 11.43 yb**

**1. YMDDIHEURIADAU AM ABSENOLDEB.**

Ni chafwyd ymddiheuriadau am absenoldeb.

## 2. DATGANIADAU O FUDDIANNAU PERSONOL.

Ni ddatganwyd unrhyw fuddiannau personol.

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

Gan gyfeirio at gofnod 3.2 o'r cyfarfod ar 11 Mawrth 2022, bu'r Pwyllgor yn ystyried adroddiad a oedd yn rhoi'r wybodaeth ddiweddaraf am sefyllfa'r Awdurdod mewn ymateb i adolygiad Archwilio Cymru o drefniadau'r Cyngor i

gynllunio a darparu ei wasanaethau gwastraff yn gynaliadwy. Roedd yr adroddiad yn crynhoi'r prif ganfyddiadau a ddeilliodd o'r archwiliad a gynhaliwyd gan Archwilio Cymru o Wasanaethau Gwastraff yr Awdurdod.

Bu'r Pwyllgor yn ystyried y cynllun gweithredu a atodwyd wrth yr adroddiad a oedd yn ceisio mynd i'r afael â'r 8 argymhelliad allweddol a oedd yn deillio o ganfyddiadau'r archwiliad, ynghyd â chrynodeb o Brosiect y Strategaeth Wastraff.

Adroddwyd bod 7 o'r 8 prif argymhelliad wedi'u cwblhau, a bod yr argymhelliad arall yn ymwneud â gweithredu cynllun i fynd i'r afael yn gynaliadwy â nifer uchel yr achosion o dipio anghyfreithlon, drwy gyhoeddi Cynllun Ansawdd Amgylcheddol Lleol, gwaith partneriaeth parhaus drwy gyfrwng y prosiect 'Caru Cymru' a ffurfio grŵp gorchwyl a gorffen craffu.

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

- Mynegwyd pryder y byddai nifer yr achosion o dipio anghyfreithlon yn cynyddu yn dilyn y newidiadau oedd ar fin digwydd i'r gwasanaeth casglu sbwriel, ynghyd â'r problemau gweithredol oedd yn gysylltiedig â'r gwasanaeth casglu gwastraff swmpus. Rhoddwyd sicrwydd bod yr adran yn barod ar gyfer yr heriau a ragwelwyd mewn ymateb i newidiadau o fewn y gwasanaeth, a chadarnhawyd bod adnoddau wedi'u dyrannu ar gyfer darparu rhaglen addysg a gorfodi mewn perthynas â rhyngweithio ynghylch y cynllun casglu o ymyl y ffordd a thipio anghyfreithlon. Adroddwyd ymhellach bod adolygiad strategol o'r gwasanaeth casglu gwastraff swmpus yn cael ei gynnal a byddai adroddiad yn cael ei ystyried gan y Cabinet maes o law.
- Mewn ymateb i gwestiynau gan y Pwyllgor ynghylch y gwasanaeth casglu sbwriel newydd, rhoddwyd trosolwg o'r strategaeth cyfathrebu ac ymgysylltu i'r Aelodau, a oedd yn cynnwys darparu pecynnau gwybodaeth a blychau gwydr i bob cartref. Hefyd byddai ymgyrch ar y cyfryngau cymdeithasol a phresenoldeb mewn grwpiau cymunedol a phwyntiau Hwb er mwyn rhoi sylw'n uniongyrchol i unrhyw bryderon neu ymholiadau gan drigolion. Dywedwyd y gallai pobl hefyd gofrestru i gael gwasanaeth e-bost a/neu neges destun lle byddai neges atgoffa'n cael ei chyflwyno cyn y diwrnodau casglu.
- Yn sgil ymholiad gan Aelod, cadarnhaodd y Pennaeth Gwasanaethau Amgylcheddol a Gwastraff Dros Dro byddai'r ddarpariaeth banciau poteli bresennol yn aros yn y tymor byr yn dilyn cyflwyno'r gwasanaeth casglu gwastraff diwygiedig, ac wedyn byddai adolygiad yn cael ei gynnal gyda'r bwriad o ddarparu cyfleusterau mewn lleoliadau strategol yn y tymor hwy, yn seiliedig ar y galw. Yn hyn o beth, rhoddwyd sicrwydd i Aelodau y byddai unrhyw ad-drefnu o'r cyfleusterau banciau poteli yn cael ei adolygu gan y pwyllgor craffu priodol.
- Anogwyd yr Aelodau i nodi'r cynnydd sylweddol a wnaed i fynd i'r afael ag argymhellion Archwilio Cymru, a roddodd sicrwydd i'r Pwyllgor fod y materion a glustnodwyd wedi cael eu hunioni neu fod hynny'n digwydd ar y pryd. O ystyried yr adroddiad cadarnhaol, cynigiwyd y gallai'r adolygiad



## **PENDERFYNWYD:**

- 3.1 Nodi'r cynnydd a wnaed gan Gyngor Sir Caerfyrddin mewn ymateb i argymhellion Archwilio Cymru ar y gwasanaethau gwastraff.**
- 3.2 Gwaredu'r adolygiad o'r gwasanaethau gwastraff o Flaengynllun Gwaith y Pwyllgor ar gyfer 2022/23.**

## **4. DIWEDDARIAD RHAGLEN WAITH ARCHWILIO CYMRU**

Rhoddodd y Pwyllgor ystyriaeth i adroddiad chwarterol Rhaglen Waith ac Amserlen Archwilio Cymru, ar 30 Medi 2022, a oedd yn rhoi crynodeb o'r rhaglen waith ar gyfer llywodraeth leol, ynghyd â diweddariad ar y gwaith arolygu, gan gynnwys yr archwiliadau ariannol a pherfformiad sy'n berthnasol i Gyngor Sir Caerfyrddin.

Mewn ymateb i sylw a wnaed gan Aelod, fe wnaeth Cynrychiolydd Archwilio Cymru fanylu ar y broses ymgynghori oedd ar waith rhwng Archwilio Cymru a'r Cyngor cyn cyhoeddi adroddiadau ar eu gwefan. Tynnodd y Pwyllgor sylw at yr amser hir a allai fynd rhwng Archwilio Cymru yn cyhoeddi adroddiadau a'r is-adran berthnasol yn cyflwyno cynllun gweithredu i'r Pwyllgor. Gofynnwyd felly bod y Swyddogion yn rhoi dull ar waith i roi gwybod i'r Pwyllgor am gyhoeddiadau perthnasol Archwilio Cymru cyn bwrw ymlaen drwy'r broses reoli fewnol ar gyfer datblygu cynllun gweithredu. Eglurodd Cyfarwyddwr y Gwasanaethau Corfforaethol fod y strwythur wedi cael ei roi ar waith i roi sicrwydd i'r Pwyllgor ynghylch y camau a gymerwyd gan y Cyngor i fynd i'r afael ag unrhyw argymhellion gan Archwilio Cymru. Fodd bynnag, cytunwyd y byddai dull i hysbysu'r Pwyllgor ynghylch cyhoeddi adroddiadau Archwilio Cymru yn amserol yn cael ei ystyried gan y Tîm Rheoli Corfforaethol.

Tynnodd Cyfarwyddwr y Gwasanaethau Corfforaethol sylw'r Pwyllgor at y gwaith Archwilio Ariannol ar gyfer 2021/22. O ran archwilio Datganiad o Gyfrifon y Cyngor ar gyfer 2021/22, dywedwyd bod y diystyru statudol ar gyfer trin asedau seilwaith wedi'i roi ar waith ers hynny, ac yn unol â'r awdurdod dirprwyedig a ddarparwyd i Gyfarwyddwr y Gwasanaethau Corfforaethol a Chadeirydd y Pwyllgor Llywodraethu ac Archwilio, cadarnhawyd mai Sir Gaerfyrddin oedd y Cyngor cyntaf yng Nghymru i gwblhau ei Ddatganiad o Gyfrifon 2021/22 gyda barn archwilio ddiamod. Ar ben hynny, atgoffwyd y Pwyllgor fod archwiliad Datganiad Cyfrifon 2021/22 y Cronfa Bensiwn a'r archwiliad ar gyfer Harbwr Porth Tywyn 2021/22 wedi cael eu cwblhau gan y Pwyllgor yn ei gyfarfod diwethaf ar 21 Hydref 2022.

## **PENDERFYNWYD YN UNFRYDOL**

- 4.1 Nodi Rhaglen Waith Archwilio Cymru.**

**4.2 Bod dull i roi gwybod i'r Pwyllgor ynghylch cyhoeddi adroddiadau Archwilio Cymru yn amserol yn cael ei ystyried gan y Tîm Rheoli Corfforaethol.**

**5. 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 cyfradd gwblhau o 49% wedi'i chyflawni hyd yma, a hynny yn erbyn targed o 55%. Bu i'r Pwyllgor adolygu'r cynnydd a wnaed mewn perthynas â chyflwyno'r rhaglen archwilio, ac, o ystyried y materion staffio presennol, cynigiwyd gohirio'r meysydd canlynol i 2023/24:

- Carbon Sero Net, ar sail yr adolygiad a wnaed gan Archwilio Cymru.
- Cynllunio'r Gweithlu, ar y sail bod is-grŵp penodol o'r Tîm Trawsnewid yn ei le i adolygu materion cynllunio'r gweithlu.
- Diogelu Data, ar y sail y byddai'n amserol adolygu prosesau ar ôl deddfu deddfwriaeth newydd yn 2023.

Cyfeiriodd y Pennaeth Refeniw a Chydymffurfiaeth Ariannol at archwiliadau'r Grant Gwella Cymorth Consortia Rhanbarthol a'r Grant Datblygu Disgyblion a oedd wedi rhagori'n sylweddol ar y dyddiau archwilio a ddyrannwyd. Eglurwyd bod yr oedi, yn bennaf, wedi'i briodoli i faterion yn ymwneud â'r pandemig coronafeirws, a'r symud o ERW i Partneriaeth, a oedd wedi ymestyn cyfnod yr archwilio ac wedi arwain at gymhlethdodau ychwanegol yn gysylltiedig ag aelodaeth ddiwygiedig y consortia a'r Swyddogion oedd yn gyfrifol am reoli prosesau o ddydd i ddydd. Rhoddwyd sicrwydd i'r Pwyllgor fod trefniadau wedi'u cryfhau i helpu'r adran i nodi meysydd i'w gwella. Nodwyd ymhellach y byddai gwerthusiad ar ôl y prosiect yn cael ei wneud rhwng yr adran a'r adain archwilio, gyda'r bwriad o ddatblygu ymhellach a chanfod meysydd gwelliant pellach yn y dyfodol.

Cafwyd trafodaeth ar yr anawsterau recriwtio parhaus a'r cyfyngiadau ariannol heriol oedd yn wynebu'r Awdurdod; problemau roedd y sector cyhoeddus cyfan yn eu hwynebu'n genedlaethol. Yn hyn o beth, cafodd ei gydnabod gan Swyddogion y gallai fod angen atal recriwtio un o'r ddwy swydd wag bresennol yn yr adain archwilio er mwyn cynorthwyo i gydbwyso'r gyllideb. Tynnodd y Pwyllgor sylw at waith allweddol yr adain Archwilio wrth gefnogi rheolaethau mewnol a chynnal trefn briodol o fewn yr Awdurdod ac yr oedd angen eu hariannu'n ddigonol. Pwysleisiodd y Pwyllgor y dylai'r rhaglen waith archwilio ar gyfer 2023/24 adlewyrchu'r adnoddau oedd ar gael, i sicrhau bod rhaglen waith realistig ac effeithiol yn cael ei chyflwyno.

**PENDERFYNWYD YN UNFRYDOL**

- 5.1 Derbyn adroddiad diweddarau Cynllun Archwilio Mewnol 2022/23.**
- 5.2 Gohirio'r meysydd archwilio sy'n ymwneud â Charbon Sero Net, Cynllunio'r Gweithlu a Diogelu Data i 2023/24.**

## **6. CYNNYDD O RAN ARGYMHELLION YR ADRODDIAD RHEOLEIDDIO**

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

Mynegodd y Cadeirydd ei siom mewn perthynas â nifer yr anghysonderau o fewn yr adroddiad, ynghyd â pheth hen wybodaeth, a phwysleisiodd fod angen cryfhau prosesau mewnol i sicrhau bod adroddiadau'r dyfodol yn cael eu hadolygu cyn eu cyhoeddi. Esboniodd y Rheolwr Polisi Corfforaethol a Phartneriaeth fod yr adroddiad yn benllanw i'r data a'r wybodaeth a ddarparwyd gan Swyddogion Arweiniol y Gwasanaeth, a rhoddwyd sicrwydd i'r Pwyllgor y byddai adborth yn cael ei roi i'r Swyddogion priodol i dynnu sylw at y gofyniad am riportio cywir.

**PENDERFYNWYD YN UNFRYDOL dderbyn yr adroddiad.**

## **7. BLAENRHAGLEN GWAITH Y PWYLLGOR LLYWODRAETHU AC ARCHWILIO**

Ystyriodd y Pwyllgor y Flaenraglen Waith ar gyfer cylch cyfarfodydd y Pwyllgor Llywodraethu ac Archwilio am 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 o sesiynau datblygu er mwyn rhoi'r sgiliau angenrheidiol i Aelodau gyflawni eu rôl yn effeithiol ar y Pwyllgor.

Esboniodd y Pennaeth Refeniw a Chydymffurfiaeth Ariannol fod yr adroddiad Cwynion Blynnyddol wedi'i ohirio hyd at fis Mawrth 2023 oherwydd problemau adnoddau.

**PENDERFYNWYD YN UNFRYDOL dderbyn Blaenraglen Waith 2022/23.**

## **8. COFNODION GRWPIAU PERTHNSAOL I'R PWYLLGOR LLYWODRAETHU AC ARCHWILIO:**

### **8.1. GRWP LLYWODRAETHU CORFFORAETHOL 20 MEDI, 2022**

**PENDERFYNWYD YN UNFRYDOL dderbyn cofnodion cyfarfod y Grŵp Llywodraethu Corfforaethol a gynhaliwyd ar 20 Medi, 2022.**

### **8.2. GRWP LLYWIO RHEOLI RISG 02 RHAGFYR, 2022**

**PENDERFYNWYD YN UNFRYDOL dderbyn cofnodion cyfarfod y Grŵp Llywio Rheoli Risg a gynhaliwyd ar 2 Rhagfyr 2022.**

### **8.3. PANEL GRANTIAU 26 MEDI, 2022**

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

## **9. LLOFNODI YN GOFNOD CYWIR COFNODION CYFARFOD PWYLLGOR LLYWODRAETHU AC ARCHWILIO AR:**

### **9.1. 30 MEDI 2022**

Cyfeiriwyd at gywiriad teipio oedd yn ofynnol mewn perthynas â chofnod 8 yn ymwneud â'r Rheolau Gweithdrefn Ariannol, a nodwyd ar dudalen 107 o ddogfennaeth y cyfarfod. Cadarnhawyd y byddai'r cofnodion yn cael eu diweddaru i ddatgan "monies being held **at** the year end...".

**PENDERFYNWYD YN UNFRYDOL, ar yr amod y byddai'r cywiriad yn cael ei wneud, lofnodi cofnodion cyfarfod y Pwyllgor Llywodraethu ac Archwilio a gynhaliwyd ar 30 Medi, 2022, i nodi eu bod yn gywir.**

Cafodd y Pwyllgor wybod bod yr adolygiad dilynol ar y pwnc "Trosolwg a Chraffu - Addas ar gyfer y Dyfodol" wedi'i ohirio ac roedd disgwyl iddo gael ei gyflwyno i'r Pwyllgor yn ei gyfarfod nesaf ar 17 Mawrth 2023.

Tynnwyd sylw'r Pwyllgor gan y Pennaeth Refeniw a Chydymffurfiaeth Ariannol at baragraff 4 o gofnod 4 yn ymwneud â 'Rhan Bii: Prydau Ysgol - Gofynion Dietegol Arbennig' Diweddariad Cynllun Archwilio Mewnol 2022/23. Dywedodd y Pwyllgor fod y Pennaeth Mynediad at Addysg wedi rhoi diweddariad i gywiro'r datganiad a wnaed i'r Pwyllgor ynglŷn ag ail-gofrestru alergenau neu anghenion dietegol arbennig ar gyfer disgyblion blwyddyn 6 ysgolion cynradd sy'n pontio i flwyddyn 7 ysgolion uwchradd. Yn hyn o beth, eglurwyd bod y broses ail-gofrestru wedi'i chynnal trwy'r system ParentPay yn hytrach na'r ffurflen gais derbyniadau. Rhoddwyd sicrwydd i'r Pwyllgor fod y broses bresennol yn casglu'r wybodaeth ofynnol am alergenau ac anghenion dietegol arbennig yr holl ddisgyblion, gan gynnwys y rhai sy'n gymwys i gael prydau ysgol am ddim, oherwydd roedd yn ofynnol i bob rhiant/gwarcheidwad ymgymryd â'r broses ail-gofrestru ar y system ParentPay. Ar ben hynny, nodwyd bod sylw'n cael ei roi i gynnwys alergenau ac anghenion dietegol arbennig ar y ffurflen gais derbyniadau, ond byddai'n rhaid i unrhyw ddiwygiadau a wnaed fod yn destun cytundeb rhanbarthol.

Er mwyn cynorthwyo'r Pwyllgor i fonitro ei weithredoedd a'i atgyfeiriadau, gwnaed cais am i Swyddogion archwilio'r posibilrwydd o gyflwyno naill ai Log Gweithredu i gyd-fynd â'r cofnodion, neu adroddiad i fanylu ar y rhesymau dros beidio â chyflwyno eitemau o fewn Blaenraglen Waith y Pwyllgor.

### **9.2. 21 HYDREF 2022**

**PENDERFYNWYD llofnodi cofnodion cyfarfod y Pwyllgor Llywodraethu ac Archwilio oedd wedi ei gynnal ar 21 Hydref, 2022, gan eu bod yn gywir.**

Wrth gloi'r cyfarfod, rhoddodd Cyfarwyddwr y Gwasanaethau Corfforaethol wybod i'r Aelodau am y sefyllfa bresennol mewn perthynas â'r broses recriwtio ar gyfer y swydd wag fel Aelod Lleyg oedd ar y Pwyllgor Llywodraethu ac Archwilio, a chadarnhawyd bod y swydd wedi'i hailhysbysebu tan 23 Ionawr 2023.

\_\_\_\_\_  
**CHAIR**

\_\_\_\_\_  
**DATE**

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