

DYDD GWENER, 1 MAWRTH 2024

**AT: HOLL AELODAU'R PWYLLGOR LLYWODRAETHU AC
ARCHWILIO**

YR WYF DRWY HYN YN EICH GALW I FYNYCHU CYFARFOD **AML-
LEOLIAD O'R PWYLLGOR LLYWODRAETHU AC ARCHWILIO** A
GYNHELIR YN Y SIAMBR, NEUADD Y SIR, CAERFYRDDIN, SA31
1JP AM **10.00 YB, DYDD GWENER, 8FED MAWRTH, 2024** ER
MWYN CYFLAWNI'R MATERION A AMLINELLIR AR YR AGENDA
SYDD YNGHLWM

Wendy Walters

PRIF WEITHREDWR

Swyddog Democrataidd:	Julie Owens
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Wendy Walters Prif Weithredwr, *Chief Executive*,
Neuadd y Sir, Caerfyrddin. SA31 1JP
County Hall, Carmarthen. SA31 1JP

PWYLLGOR LLYWODRAETHU AC ARCHWILIO

AELODAETH 8 AELOD O'R CYNGOR A 4 PERSON LLEYG A PHLEIDLAIS

GRŴP PLAID CYMRU(4)

- | | | |
|----|------------|----------------|
| 1. | Cynghorydd | Kim Broom |
| 2. | Cynghorydd | Karen Davies |
| 3. | Cynghorydd | Alex Evans |
| 4. | Cynghorydd | Elwyn Williams |

GRŴP LLAFUR (2)

- | | | |
|----|------------|----------------|
| 1. | Cynghorydd | Phil Warlow |
| 2. | Cynghorydd | Janet Williams |

GRŴP ANNIBYNNOL(1)

- | | | |
|----|------------|-----------------------------|
| 1. | Cynghorydd | Giles Morgan [Is-Gadeirydd] |
|----|------------|-----------------------------|

HEB GYSYLLTIAD (1)

- | | | |
|----|------------|----------|
| 1. | Cynghorydd | Lle Gwag |
|----|------------|----------|

AELOD LLEYG A PHLEIDLAIS

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

- | | |
|----|--------------------------------|
| 1. | Mrs Julie James |
| 2. | Mr Malcolm MacDonald |
| 3. | Mr David MacGregor [Cadeirydd] |
| 4. | Mrs Karen Jones |

AGENDA

1. YMDDIHEURIADAU AM ABSENOLDEB
2. DATGANIADAU O FUDDIANNAU PERSONOL
3. I YSTYRIED Y DOGFENNAU CANLYNOL A BARATOWYD GAN ARCHWILIO CYMRU:-
 - 3.1 DIWEDDARIAD RHAGLEN WAITH ARCHWILIO CYMRU 5 - 24
 - 3.2 DEFNYDDIO GWYBODAETH AM BERFFORMIAD: 25 - 44
PERSBECTIF A CHANFYDDIADAU DEFNYDDWYR
GWASANAETH - CYNGOR SIR CAERFYRDDIN
 - 3.3 ADOLYGIAD DILYNOL ARCHWILIO CYMRU O'R 45 - 74
TREFNIADAU CORFFORAETHOL AR GYFER DIOGELU -
CYNGOR SIR CAERFYRDDIN
4. Y DIWEDDARAF YNGHYLCH AR CYNLLUN ARCHWILIO 75 - 86
MEWNOL 2023/24
5. ARGYMHELLION ARCHWILIAD MEWNOL 87 - 94
6. CYNLLUN ARCHWILIAD MEWNOL BLYNYDDOL 2024/25 & 95 - 102
BWRIEDIR EI GYNNWYS YN 2024-27
7. COFRESTR RISG CORFFORAETHOL 2023/24 CYNGOR SIR 103 - 174
CAERFYRDDIN
8. ÔL-DDYLEDION RHENT TAI 175 - 182
9. LOG GWEITHREDU'R PWYLLGOR LLYWODRAETHU AC 183 - 188
ARCHWILIO
10. BLAENRHAGLEN GWAITH Y PWYLLGOR LLYWODRAETHU AC 189 - 194
ARCHWILIO
11. COFNODION GRWPIAU PERTHNSAOL I'R PWYLLGOR 195 - 198
LLYWODRAETHU AC ARCHWILIO
 - 11.1 COFNODION Y PANEL GRANTIAU 02 HYDREF 2023 199 - 204
12. LLOFNODI YN GOFNOD CYWIR COFNODION CYFARFOD Y 205 - 212
PWYLLGOR LLYWODRAETHU AC ARCHWILIO A GYNHALIWDYD
AR 15 RHAGFYR 2023

Mae'r dudalen hon yn wag yn fwriadol

PWYLLGOR LLYWODRAETHU AC ARCHWILIO 8 MAWRTH 2024

DIWEDDARIAD RHAGLEN WAITH ARCHWILIO CYMRU

Y Pwrpas: I nodi Diweddariad Rhaglen Waith Archwilio Cymru ac Amserlen hyd at Rhagfyr 2023.

Yr argymhellion / penderfyniadau allweddol sydd eu hangen:

Nodi Diweddariad Rhaglen Waith Archwilio Cymru ac Amserlen hyd at Rhagfyr 2023.

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

EXECUTIVE SUMMARY

AUDIT WALES WORK PROGRAMME UPDATE

BRIEF SUMMARY OF PURPOSE OF REPORT.

The quarterly update on Audit Wales Work Programme and Timetable up to December 2023 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.

Rhaglen Waith ac Amserlen Archwilio Cymru – Cyngor Sir Gaerfyrddin

Diweddariad Chwarterol: 31 Rhagfyr 2023

Crynodeb Archwilio Blynyddol

Disgrifiad	Amserlen	Statws
Adroddiad yn crynhoi'r gwaith archwilio a gwblhawyd ers y Crynodeb Archwilio Blynyddol diwethaf, a gyhoeddwyd ym mis Ionawr 2022.	Cyflwynwyd yr Adroddiad i'r Cyngor ym mis Chwefror 2023	Wedi'i gwblhau

Gwaith Archwilio Ariannol

Disgrifiad	Cwmpas	Amserlen	Statws
Archwiliad o ddatganiad cyfrifon 2022-23 y Cyngor	I gadarnhau a yw'r datganiad o gyfrifon yn rhoi safbwynt gwir a theg.	Barn Archwilio erbyn 30 Tachwedd 2023	Wedi'i gwblhau – darparwyd Barn Archwilio ar 31 Hydref 2023
Archwiliad o ddatganiad cyfrifon 2022-23 Cronfa Bensiwn Dyfed	I gadarnhau a yw'r datganiad o gyfrifon yn rhoi safbwynt gwir a theg.	Barn Archwilio erbyn 30 Tachwedd 2023	Wedi'i gwblhau – darparwyd Barn Archwilio ar 31 Hydref 2023
Archwiliad o ddatganiad cyfrifon 2022-23 Bergen	I gadarnhau a yw'r datganiad o gyfrifon yn rhoi safbwynt gwir a theg.	Barn Archwilio erbyn 30 Tachwedd 2023	Wedi'i gwblhau – darparwyd Barn Archwilio ar 23 Tachwedd 2023

Disgrifiad	Cwmpas	Amserlen	Statws
Ddinesig Bae Abertawe			
Archwiliad o Ddatganiad 2022-23 ar gyfer Partneriaeth Pensiwn Cymru	I gadarnhau bod y datganiad wedi cael ei gwblhau'n briodol.	Barn Archwilio erbyn 30 Tachwedd 2023	Wedi'i gwblhau – darparwyd Barn Archwilio ar 26 Gorffennaf 2023
Archwiliad o Ddatganiad Blynyddol 2022-23 ar gyfer Cyd-bwyllgor Corfforedig De-orllewin Cymru	I gadarnhau bod y datganiad wedi cael ei gwblhau'n briodol.	Barn Archwilio erbyn 30 Tachwedd 2023	Wedi'i gwblhau – darparwyd Barn Archwilio ar 31 Hydref 2023
Archwiliad o Ddatganiad Blynyddol 2022-23 ar gyfer Awdurdod Harbwr Porth Tywyn	I gadarnhau bod y datganiad wedi cael ei gwblhau'n briodol.	Barn Archwilio erbyn 30 Tachwedd 2023	Wedi'i gwblhau – darparwyd Barn Archwilio ar 20 Rhagfyr 2023
Archwiliad o Grantiau a Datganiadau 2022-23 y Cyngor	Archwiliad o'r grantiau a'r datganiadau fel sy'n ofynnol o dan eu telerau ac amodau.	Yn unol â'r terfynau amser ar gyfer pob grant a datganiad unigol.	Ar y gweill

Gwaith Archwilio Perfformiad

Gwaith Archwilio Perfformiad 2022-23	Cwmpas	Amserlen	Statws
<p>Sicrwydd ac Asesu Risg</p>	<p>Prosiect i nodi lefel y sicrwydd archwilio a/neu le gallai fod angen gwaith archwilio ychwanegol yn y dyfodol mewn cysylltiad â risgiau i'r Cyngor roi trefniadau priodol ar waith i sicrhau gwerth am arian wrth ddefnyddio adnoddau a gweithredu'n unol â'r egwyddor datblygu cynaliadwy.</p> <ul style="list-style-type: none"> • Sefyllfa ariannol • Rheoli'r rhaglen gyfalaf 	<p>Monitro'r sefyllfa ariannol yn barhaus</p> <p>Medi – Rhagfyr 2023</p>	<p>Parhaus</p> <p>Ni fydd Archwilio Cymru yn gwneud gwaith manwl ym mhob cyngor fel rhan o'n rhaglen waith 2022-23 Rydym wrthi'n archwilio ein hopsiynau ar gyfer gwneud darn o waith manwl ar y pwnc hwn naill ai yn 2023-24 neu yn y blynyddoedd i ddod.</p>

Gwaith Archwilio Perfformiad 2022-23	Cwmpas	Amserlen	Statws
	<ul style="list-style-type: none"> • Defnyddio gwybodaeth am berfformio – gan ganolbwyntio ar adborth a chanlyniadau defnyddwyr gwasanaethau • Gosod amcanion llesiant • Byddwn hefyd yn gwneud gwaith dilynol ar rai o'r cynigion ar gyfer gwella a gyhoeddwyd mewn adroddiadau Archwilio Cymru cynharach: <ul style="list-style-type: none"> ○ Adolygiad Dilynol: Gwasanaethau Cynllunio 	<p>Anfonwyd adroddiad terfynol i'r Cyngor ym mis Ionawr 2023</p> <p><u>Cyflwynwyd adroddiad i'r Cyngor ym mis Gorffennaf 2023</u></p> <p><u>Cyflwynwyd adroddiad i'r Cyngor ym mis Hydref 2022</u></p>	<p>Wedi'i gwblhau</p> <p>Wedi'i gwblhau</p> <p>Wedi'i gwblhau</p>
<p>Adolygiad Thematig – Gofal Heb ei Drefnu</p>	<p>Adolygiad traws-sector sy'n canolbwyntio ar lif cleifion yn allan o'r ysbyty. Bydd yr adolygiad hwn yn ystyried sut mae'r Cyngor yn gweithio gyda'i bartneriaid i fynd i'r afael â'r risgiau sy'n gysylltiedig â darparu gofal cymdeithasol i gefnogi rhyddhau cleifion o'r ysbyty, yn ogystal ag atal derbyniadau i'r ysbyty. Bydd y gwaith hefyd yn ystyried pa gamau sy'n cael eu cymryd i ddarparu atebion tymor canolig i dymor hwy.</p>	<p>Awst 2022 – Hydref 2023</p>	<p>Adrodd o fis Chwefror 2024 ymlaen.</p>

Gwaith Archwilio Perfformiad 2022-23	Cwmpas	Amserlen	Statws
Adolygiad thematig – Digidol	Adolygiad o ddull gweithredu strategol cynghorau o ran digidol, ac i ba raddau y datblygwyd hyn yn unol â'r egwyddor datblygu cynaliadwy; ac y bydd yn helpu sicrhau gwerth am arian wrth ddefnyddio adnoddau cynghorau.	<u>Cyflwynwyd adroddiad i'r Cyngor ym mis Medi 2023</u>	Wedi'i gwblhau

Gwaith Archwilio Perfformiad 2023-24	Cwmpas	Amserlen	Statws
Sicrwydd ac Aseu Risg	<p>Prosiect i nodi lefel y sicrwydd archwilio a/neu le gallai fod angen gwaith archwilio ychwanegol yn y dyfodol mewn cysylltiad â risgiau i'r Cyngor roi trefniadau priodol ar waith i sicrhau gwerth am arian wrth ddefnyddio adnoddau a gweithredu'n unol â'r egwyddor datblygu cynaliadwy.</p> <p>Byddwn hefyd yn gwneud gwaith dilynol ar rai o'r cynigion ar gyfer gwella a gyhoeddwyd mewn adroddiadau Archwilio Cymru cynharach:</p> <ul style="list-style-type: none"> • diogelu corfforaethol • gwasanaethau gwastraff. 	<p>Ebrill 2023 – Mawrth 2024</p> <p>Cyflwynwyd adroddiad terfynol i'r Cyngor ym mis Rhagfyr 2023</p>	<p>Parhaus</p> <p>Wedi'i gwblhau</p> <p>Ar y gweill</p>

Gwaith Archwilio Perfformiad 2023-24	Cwmpas	Amserlen	Statws
Adolygiad thematig – trefniadau comisiynu	Adolygiad sy'n canolbwyntio ar sut mae trefniadau cynghorau ar gyfer gwasanaethau comisiynu yn cymhwyso ystyriaethau gwerth am arian a'r egwyddor datblygu cynaliadwy.	Ionawr – Gorffennaf 2024	Cwmpasu
Adolygiad thematig – Cynaliadwyedd Ariannol	Adolygiad o gynaliadwyedd ariannol cynghorau, gan gynnwys canolbwyntio ar y camau gweithredu, y cynlluniau a'r trefniadau i bontio bylchau ariannu a mynd i'r afael â phwysau ariannol dros y tymor canolig.	Mawrth – Mehefin 2024	Cwmpasu

Astudiaethau cenedlaethol llywodraeth leol wedi'u cynllunio/ar y gweill

Astudiaeth	Cwmpas	Amserlen	Statws	Gwaith maes wedi'i gynllunio yng Nghyngor Sir Gaerfyrddin
Cynllunio ar gyfer datblygu cynaliadwy – Adfywio tir llwyd	Adolygiad o sut mae awdurdodau lleol yn hyrwyddo a galluogi defnyddio anheddau annomestig gwag a safleoedd tir llwyd yn well	Hydref 2022 – Medi 2023	Drafftio adroddiadau – disgwylir cyhoeddi ym mis Ionawr 2024	Ie – cyfweiliad gyda swyddog enwebedig mewn saith cyngor ac arolwg.
Llywodraethiant awdurdodau diben arbennig – Parciau Cenedlaethol	Adolygu systemau ac effeithiolrwydd llywodraethiant	Tachwedd 2022 – Medi 2023	Drafftio adroddiadau – disgwylir cyhoeddi Chwefror 2024.	Na
Llywodraethu mewn Awdurdodau Tân ac Achub	Adolygu systemau ac effeithiolrwydd llywodraethiant	Medi 2023 – Awst 2024	Gwaith maes ar y gweill	Na

Astudiaeth	Cwmpas	Amserlen	Statws	Gwaith maes wedi'i gynllunio yng Nghyngor Sir Gaerfyrddin
Digartrefedd	Archwilio sut mae gwasanaethau'n gweithio gyda'i gilydd i ddatblygu'r ymateb i ddigartrefedd.	I'w gadarnhau	Cwmpasu	I'w gadarnhau

Estyn

Mae ein harolygwyr cyswllt yn parhau i weithio gyda Thorfaen fel rhan o'n proses ddilynol ar gyfer awdurdod sy'n achosi pryder sylweddol. Gwnaethom arolygu gwasanaeth addysg llywodraeth leol Conwy yn yr wythnos yn dechrau 6 Tachwedd 2023, a bydd yr adroddiad yn cael ei gyhoeddi ddechrau Ionawr 2024. Byddwn yn treialu ein trefniadau arolygu newydd ym Mro Morgannwg yn yr wythnos yn dechrau 11 Mawrth 2024. Byddwn hefyd yn arolygu gwasanaethau gwaith ieuencid Bro Morgannwg yn yr wythnos yn dechrau 19 Chwefror 2024, a bydd canfyddiadau'r arolygiad hwnnw'n cyfrannu at y sail dystiolaeth ar gyfer arolygiad LGES.

Rydym wedi cyhoeddi adroddiad yn amlinellu dulliau awdurdodau lleol ac ysgolion uwchradd o ran hybu presenoldeb. Cyhoeddir yr adroddiad ar 18 Ionawr 2024.

Arolygiaeth Gofal Cymru (AGC)

Gwaith arfaethedig AGC ar gyfer 2023-25	Cwmpas	Amserlen	Statws
Adolygiadau thematig			
Tîm Anabledd Dysgu Cymunedol (CLDT)	Gan weithio gydag AGIC, byddwn yn cwblhau sampl bach o arolygiadau CLDT ar y cyd yn 2024. Byddwn yn defnyddio'r dull hwn i werthuso ac ystyried ein dull o arolygu ar y cyd.	2024-25	Cynllunio
Llwybr Strôc	Gan weithio ar y cyd ag AGIC, cyhoeddwyd <u>Adolygiad Cenedlaethol o Lif Cleifion: taith drwy'r llwybr strôc (agic.org.uk)</u> yn ddiweddar.	Wedi'i gwblhau	Wedi'i gyhoeddi
Adolygiad cenedlaethol o Gynllunio Gofal ar gyfer plant a phobl ifanc sy'n destun proses cyn-achos yr Amlinelliad Cyfraith Gyhoeddus	Diben yr adolygiad Rhoi proses graffu allanol ar waith, rhoi sicrwydd a hyrwyddo gwelliannau o ran ansawdd arferion mewn cysylltiad â chynllunio gofal ar gyfer plant a phobl ifanc sy'n destun proses cyn-achos yr Amlinelliad Cyfraith Gyhoeddus. I ystyried i ba raddau y mae arferion wedi symud ymlaen ers cyhoeddi 'Adolygiad Cenedlaethol o gynllunio gofal ar gyfer plant a phobl ifanc sy'n destun proses cyn-achos yr amlinelliad cyfraith gyhoeddus' a chyhoeddi adroddiad gweithgor amlinelliad cyfraith gyhoeddus 2021 gan gynnwys canllawiau arferion gorau.	Yn aros am gael ei gyhoeddi	Cyhoeddi Ionawr 2024

Gwaith arfaethedig AGC ar gyfer 2023-25	Cwmpas	Amserlen	Statws
Adolygiad Cyflym Amddiffyn Plant	<p>Edrychodd yr adolygiad i ba raddau y mae'r strwythurau a'r prosesau presennol yng Nghymru yn sicrhau bod enwau plant yn cael eu gosod yn briodol ar y gofrestr amddiffyn plant (CPR) a'u tynnu oddi arni pan fo tystiolaeth ddigonol yn dangos ei bod hi'n ddiogel gwneud hynny.</p> <p><u>Adolygiad cyflym o drefniadau amddiffyn plant, Arolygiaeth Gofal Cymru</u></p> <p><u>Adolygiad cyflym o drefniadau amddiffyn plant – canfyddiadau interim, Arolygiaeth Gofal Cymru</u></p>	Wedi'i gyhoeddi	Wedi'i gyhoeddi
Trefniadau Diogelu wrth Amddifadu o Ryddid Adroddiad Monitro Blynyddol ar gyfer Iechyd a Gofal Cymdeithasol 2022-23	<p>Cyhoeddwyd <u>adroddiad 2020-21</u> ar 7 Chwefror 2021</p> <p>Mae adroddiad 2021-2022 ar y gweill</p>	<p>Wedi'i gyhoeddi</p> <p>I'w gadarnhau</p>	<p>Wedi'i gyhoeddi</p> <p>Yn cael ei baratoi</p>

Gwaith arfaethedig AGC ar gyfer 2023-25	Cwmpas	Amserlen	Statws
<p>Arolygiadau ar y Cyd o Drefniadau Amddiffyn Plant (JICPA)</p>	<p>Byddwn yn cwblhau dau arolygiad aml-asiantaeth arall ar y cyd.</p> <p>Mae'r canfyddiadau yn dilyn Cyngor Sir Ddinbych wedi'u cyhoeddi – Adolygiad ar y Cyd gan Arolygiaethau o Drefniadau Amddiffyn Plant (JICPA): Sir Ddinbych 2023 Arolygiaeth Gofal Cymru</p> <p>Mae'r canfyddiadau yn dilyn Cyngor Bwrdeistref Sirol Pen-y-bont ar Ogwr wedi'u cyhoeddi – Adolygiad ar y Cyd gan Arolygiaethau o Drefniadau Amddiffyn Plant (JICPA): Pen-y-bont ar Ogwr 2023 Arolygiaeth Gofal Cymru</p> <p>Mae canfyddiadau Cyngor Sir Powys ar y gweill</p> <p>Byddwn yn cyhoeddi adroddiad cenedlaethol ddiwedd gwanwyn 2024.</p>	<p>Ebrill 2023 – Ebrill 2024</p>	<p>Cyflawni</p>
<p>Adolygu perfformiad Awdurdodau Lleol</p>	<p>Rydym yn parhau i arolygu Awdurdodau Lleol yn unol â'n Cod Ymarfer wedi'i ddiweddarau ar gyfer ein gweithgarwch arolygu awdurdodau lleol Arolygiaeth Gofal Cymru</p> <p>Sut rydym yn arolygu gwasanaethau awdurdodau lleol a CAFCASS Cymru</p>	<p>Ar y gweill</p>	<p>Ar y gweill</p>

Adroddiadau cenedlaethol ac allbynnau eraill Archwilio Cymru a gyhoeddwyd ers mis Rhagfyr 2022

Teitl yr adroddiad	Dyddiad cyhoeddi a dolen i'r adroddiad
Cyd-bwyllgorau Corfforedig – sylwebaeth ar eu cynnydd	Tachwedd 2023
Trefniadau llywodraethu mewn perthynas ag anghydfod cyflogaeth yn Amgueddfa Cymru	Tachwedd 2023
Methiannau mewn rheolaeth ariannol a threfniadau llywodraethu a cholledion wedi'u dioddef – Cyngor Cymuned Harlech	Tachwedd 2023
Diffodd y galwadau diangen: Ymatebion Awdurdodau Tân ac Achub i Signalau Tân Dieisiau	Hydref 2023
Trefniadau cyflenwi ar gyfer absenoldeb athrawon: dilyniant (llythyr i'r Pwyllgor Cyfrifon Cyhoeddus a Gweinyddiaeth Gyhoeddus)	Hydref 2023
Gweithlu'r GIG – briff ar ddata	Medi 2023
Arallgyfeirio Incwm ar gyfer Awdurdodau Parciau Cenedlaethol yng Nghymru	Medi 2023
Dulliau o sicrhau sero net ledled y DU	Medi 2023
Llamu Ymlaen: Gwersi o'n gwaith ar y gweithlu ac asedau (mewn llywodraeth leol)	Medi 2023
Diweddariad offeryn data Cynaliadwyedd Ariannol Llywodraeth Leol (yn dilyn diweddariad arfaethedig yn Ionawr 2024)	Medi 2023
Offeryn data cyllido'r GIG – hyd at 31 Mawrth 2023	Medi 2023

Teitl yr adroddiad	Dyddiad cyhoeddi a dolen i'r adroddiad
Adroddiadau er budd y cyhoedd – Cyngor Tref Rhydaman a Chyngor Cymuned Llanferres	Medi 2023
Bwrdd Iechyd Prifysgol Cwm Taf Morgannwg – Gwaith Dilynol ar yr Adolygiad ar y Cyd o Drefniadau Llywodraethu Ansawdd	Awst 2023
'Craciau yn y Sylfeini' – Diogelwch Adeiladau yng Nghymru	Awst 2023
Gwneud y Mwyaf o Arian yr UE – y Rhaglen Cronfeydd Strwythurol a'r Rhaglen Datblygu Gwledig	Mehefin 2023
Cynhwysiant Digidol yng Nghymru (gan gynnwys cwestiynau allweddol i gyrrff cyhoeddus)	Mawrth 2023
Gwasanaethau Orthopedig yng Nghymru – Mynd i'r Afael ag Ôl-groniad y Rhestr Aros	Mawrth 2023
Bwrdd Iechyd Prifysgol Betsi Cadwaladr – Adolygiad o Effeithiolrwydd y Bwrdd	Chwefror 2023
Pryniant Llywodraeth Cymru o Fferm Gilestone	Ionawr 2023
Gyda'n gilydd fe allwn ni – Cydnerthedd a hunandibyniaeth cymunedau	Ionawr 2023
Darlun o Reoli Perygl Llifogydd	Rhagfyr 2022
'Cyfle Wedi'i Gollu' – Mentrau Cymdeithasol	Rhagfyr 2022

Adroddiadau cenedlaethol ac allbynnau eraill Archwilio Cymru (gwaith ar y gweill / cynlluniedig)^{1, 2}

Teitl	Dyddiad cyhoeddi disgwylidig
Gwasanaethau ffoaduriaid o Wcráin	Chwefror 2024
Bwrdd Iechyd Prifysgol Betsi Cadwaladr – adolygiad dilynol o effeithiolrwydd y bwrdd	Chwefror 2024
A465 Adran 2 – diweddariad	Chwefror 2024
Llywodraethu ansawdd y GIG	Mawrth 2024
Adolygiad o strategaeth ddigidol llywodraeth leol – crynodeb cenedlaethol	Mawrth 2024
Defnydd llywodraeth leol o wybodaeth am berfformiad, canlyniadau a phersbectif defnyddwyr gwasanaethau – crynodeb cenedlaethol	Mawrth 2024
Tai fforddiadwy	Gwanwyn 2024
Teithio llesol	Gwanwyn 2024

¹Byddwn yn parhau i adolygu ein cynlluniau'n gyson, gan ystyried yr amgylchedd allanol sy'n esblygu, ein blaenoriaethau archwilio, cyd-destun ein hadnoddau ein hunain a gallu cyrff archwiliedig i ymgysylltu â ni. Gallai gwaith dilynol hefyd arwain at allbynnau eraill, yn ogystal â gwaith archwilio lleol eraill lle rydym o'r farn bod rhagoriaeth mewn allbwn cryno cenedlaethol o ryw fath.

²Rydym hefyd wedi cyhoeddi papur ar ein gwefan – [Ein rhaglen waith ar gyfer 2023-2026](#) – sy'n rhoi manylion ychwanegol am ein gwaith cenedlaethol (gan gynnwys adolygiadau thematig lleol). Yn ogystal â'r gwaith newydd y byddwn yn ei wneud yn 2023-24, mae'r papur yn cynnwys manylion am bynciau dangosol i'r gwaith ddechrau yn 2024-24 neu 2025-26.

Teitl	Dyddiad cyhoeddi disgwyliedig
Pwyllgorau Archwilio. ‘Sut beth yw da?’. Gwaith ymchwil a datblygu i ddeall y dirwedd pwyllgorau archwilio eang ar draws pob sector yng Nghymru. Allbynnau i gefnogi digwyddiadau Cyfnewid Arferion Da a gwaith archwilio posibl yn y dyfodol.	Gwaith Ymchwil a Datblygu Medi – Rhagfyr 2023 Digwyddiad Arferion Da Gwanwyn 2024
Cynllunio Gweithlu'r GIG (negeseuon cenedlaethol)	Diwedd gwanwyn 2024
Gwasanaethau canser	Diwedd haf 2024
Yr uwch wasanaeth cyhoeddus	I'w gadarnhau (cwmpasu ar ddechrau 2024)
Heriau i'r sector diwylliannol	I'w gadarnhau (yn dechrau yn 2023-24)
Ailgydbwysu gofal a chymorth	I'w gadarnhau (yn dechrau yn 2023-24)
Mynd i'r afael â rhestrau aros y GIG (gwaith archwilio lleol mewn byrddau iechyd)	I'w gadarnhau (yn dechrau yn 2023-24)
Mynediad i addysg i blant ag Anghenion Dysgu Ychwanegol	I'w gadarnhau (yn dechrau yn 2023-24)
Mynd i'r afael â dirywiad bioamrywiaeth (y sector cyhoeddus cyfan ac yn Cyfoeth Naturiol Cymru)	Gwaith ymchwil a datblygu ar y gweill o fis Medi i fis Rhagfyr 2023. Casglu data gyda grwpiau cynrychioliadol. Bydd allbynnau yn llywio unrhyw waith archwilio pellach. Adolygiad ar draws y sector cyhoeddus – Hydref 2024

Teitl	Dyddiad cyhoeddi disgwyliedig
Canolfan Ganser Felindre	I'w gadarnhau (cwmpasu)
Buddsoddi cyfalaf a seilwaith Llywodraeth Cymru	I'w gadarnhau (cwmpasu)
Cyllid a goruchwyliaeth addysg bellach ac uwch – Y Comisiwn Addysg Drydyddol ac Ymchwil	I'w gadarnhau (cwmpasu)

Digwyddiadau ac adnoddau'r Gyfnewidfa Arfer Da

Teitl	Dolen i'r adnodd
Y Gyfnewidfa Arfer Da – Ein crynodeb o'r flwyddyn o ddigwyddiadau ac adnoddau	Rhagfyr 2023
Gonestrwydd yn y sector cyhoeddus 'Caiff ymddiriedaeth ei meithrin a'i chynnal drwy gymhwysedd, dibynadwyedd a gonestrwydd, yn ogystal â meithrin perthnasoedd dilyn a chadarn rhwng y sector cyhoeddus a'r cyhoedd y mae'n eu gwasanaethu. Mae hynny'n golygu bod yn rhaid i'r sector cyhoeddus fod yn atebol am reoli a darparu gwasanaethau a chanlyniadau cyhoeddus, am gyfeiriad a rheolaeth y gwaith y mae'n ei wneud, yr adnoddau y mae'n eu rheoli, ac am ei ymddygiad a'i foeseg.' Bydd y digwyddiad hwn yn edrych ar sut y gall gwasanaethau cyhoeddus hyrwyddo diwylliant o uniondeb.	5 Rhagfyr 2023 10:00 – 12:00 Ar-lein
Gweithio mewn partneriaeth i wella llesiant Bydd y digwyddiad hwn yn dod â Phartneriaeth Mewnwelediad Gogledd Cymru, y Byrddau Gwasanaethau Cyhoeddus a chymuned C4C at ei gilydd i rannu cynlluniau llesiant ar draws ardal Gogledd Cymru, yn ogystal â rhannu'r gwaith arloesol sydd yn cael ei wneud gan sawl sector ym maes llesiant yn ein cymunedau. Bydd y digwyddiad yn rhoi cyfleoedd i drafod sut y gellir cysylltu'r gwaith hwn gyda'i gilydd i gyflawni newid gwirioneddol.	24 Hydref 2023 09:30 – 16:30 Dyddiau Caerdydd i'w gadarnhau

Teitl	Dolen i'r adnodd
<p>O'r Strategaeth i Fodolaeth Sut mae'r digidol yn gwneud gwahaniaeth i fywydau bob dydd Bydd y digwyddiad hwn yn cymryd golwg ymarferol a gonest ar y dirwedd ddigidol yng Nghymru, a bydd yn cynnig syniadau ymarferol ar gyfer sefydliadau cyhoeddus a thrydydd sector a fydd yn eu helpu i gael y gwerth gorau am arian.</p>	<p>27 Medi 2023 09:00 – 13:00 – Gogledd Cymru</p> <p>5 Hydref 2023 09:00 – 13:00 – Caerdydd</p>
<p>Podlediad: Archwilio Cydnerthedd Cymunedol Yn rhifyn hwn o'r Gyfnewidfa mae ein tîm Llywodraeth Leol yn trafod rhai o'r ffactorau sy'n achosi tloedi yng Nghymru, yn ogystal â'r gwerth a ddarperir gan fentrau cymdeithasol, a phwysigrwydd cadw cyfoeth mewn cymunedau.</p>	<p><u>I wrando</u></p>

Mae'r dudalen hon yn wag yn fwriadol

**PWYLLGOR LLYWODRAETHU AC ARCHWILIO
8 MAWRTH 2024**

ADRODDIAD ARCHWILIO CYMRU:

**DEFNYDDIO GWYBODAETH AM BERFFORMIAD: PERSBECTIF A
CHANFYDDIADAU DEFNYDDWYR GWASANAETH – CYNGOR SIR
CAERFYRDDIN**

Pwrpas:

Ystyried canfyddiadau ac argymhellion adroddiad Lleol Archwilio Cymru.

Yr argymhellion / penderfyniadau allweddol sydd eu hangen:

I nodi adroddiad Archwilio Cymru ac ymateb Cyngor Sir Caerfyrddin i argymhellion yr adroddiad sy'n berthnasol i'r Cyngor.

Y rhesymau:

Mae gennym ddyletswydd i ystyried argymhellion yr adroddiad a chynigion ar gyfer gwelliant

Angen i'r Cabinet wneud penderfyniad NAC OES

Angen i'r Cyngor wneud penderfyniad NAC OES

YR AELOD CABINET SY'N GYFRIFOL AM Y PORTFFOLIO
Cyng. Philip Hughes, yr Aelod Cabinet dros Drefniadaeth a'r Gweithlu

Adran Prif Weithredwr	Swyddi:	Ffôn:
Jason Jones	Pennaeth Adfywio, Digidol Pholisi	JaJones@sirgar.gov.uk
Gwyneth Ayers	Rheolwr Polisi Corfforaethol, Perfformiad a Phartneriaeth	GAyers@sirgar.gov.uk

EXECUTIVE SUMMARY

AUDIT WALES REPORT: USE OF PERFORMANCE INFORMATION: SERVICE USER PERSPECTIVE AND OUTCOMES – CARMARTHENSHIRE COUNTY COUNCIL

The report looks at the service user perspective and outcome data provided to members and senior officers, and how this information is used. It will not be a full review of the Council's performance management arrangements or an in-depth data quality review.

Audit Wales - Key findings

The performance information provided by the Council to senior leaders to enable them to understand the service user perspective and the outcomes of the Council's activities is limited.

- *The performance information the Council provides to its senior leaders on the perspective of service users is limited.*
- *The performance information the Council provides to senior leaders largely focuses on activity and output, rather than evaluating their impact.*
- *The Council has limited arrangements to ensure that service user perspective and outcomes information provided to senior leaders is accurate.*
- *As the information provided on outcomes and the perspective of service users is limited, the extent to which the Council can use this information to help it achieve its outcomes is also limited.*
- *The Council recognises it needs to strengthen the information it provides to its senior leaders to help them better understand the service user perspective and has been exploring how other councils do this.*

The report makes three recommendations:

R1	<p>Information on the perspective of the service user</p> <p>The Council should ensure that the information provided to its senior leaders enables them to understand how well services and policies are meeting the needs of service users. This should include strengthening its arrangements to assure itself that this information is drawn from the diversity of service users.</p>
R2	<p>Information on progress towards outcomes</p> <p>The Council should strengthen the information provided to senior leaders to help them evaluate whether the Council is delivering its objectives and intended outcomes.</p>
R3	<p>Quality and accuracy of data</p> <p>The Council should assure itself that it has robust arrangements to check the quality and accuracy of the information it provides to senior leaders relating to service user perspective and outcomes.</p>

DETAILED REPORT ATTACHED?

YES

1. Audit Wales Report
2. Carmarthenshire response to recommendations

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:

Jason Jones, Head of Regeneration, Policy & Digital

Policy, Crime & Disorder and Equalities	Legal	Finance	ICT	Risk Management Issues	Staffing Implications	Physical Assets	Bio-diversity & Climate Change
YES	NONE	NONE	NONE	NONE	NONE	NONE	NONE

1. Policy, Crime & Disorder and Equalities

- 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 be considered by Corporate Management Team, Cabinet Member, 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.

CONSULTATIONS

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

Jason Jones, Head of Regeneration, Policy & Digital

1. Scrutiny Committee request for pre-determination	NA –
Scrutiny Committee	
Date the report was considered:-	
Scrutiny Committee Outcome/Recommendations:-	

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(S) AWARE/CONSULTED YES	Cllr. Philip Hughes aware of report, recommendations and response
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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

Defnyddio gwybodaeth am berfformiad: persbectif a chanlyniadau defnyddwyr gwasanaeth – Cyngor Sir Caerfyrddin

Blwyddyn archwilio: 2022-23

Dyddiad cyhoeddi: Ionawr 2024

Cyfeirnod y ddogfen: 3980A2023

Paratowyd y ddogfen hon fel rhan o waith a gyflawnir yn unol â swyddogaethau statudol.

Mewn achos o dderbyn cais am wybodaeth y gall y ddogfen hon fod yn berthnasol iddo, tynnir sylw at y Cod Ymarfer a gyhoeddwyd o dan adran 45 o Ddeddf Rhyddid Gwybodaeth 2000. Mae'r cod adran 45 yn nodi'r arfer wrth ymdrin â cheisiadau a ddisgwylir gan awdurdodau cyhoeddus, gan gynnwys ymgynghori â thrydydd partion perthnasol. O ran y ddogfen hon, mae Archwilydd Cyffredinol Cymru a Swyddfa Archwilio Cymru yn drydydd partion perthnasol. Dylid anfon unrhyw ymholiadau ynghylch datgelu neu aildefnyddio'r ddogfen hon at Archwilio Cymru yn swyddog.gwybodaeth@archwilio.cymru.

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. This document is also available in English.

Cynnwys

Crynodeb o'r adroddiad	4
Yr hyn yr edrychom arno – cwmpas yr archwiliad hwn	4
Pam yr ymgwymerwyd â'r archwiliad hwn	5
Trefniadau adrodd perfformiad y Cyngor	5
Yr hyn a ddarganfuwyd: mae'r wybodaeth perfformiad a ddarparwyd gan y Cyngor i uwch arweinwyr i'w galluogi i ddeall safbwynt defnyddwyr y gwasanaeth a chanlyniadau gweithgareddau'r Cyngor yn gyfyngedig	6
Argymhellion	9
Atodiadau	
Atodiad 1: Cwestiynau allweddol a'r hyn yr ydym yn chwilio amdano	11

Crynodeb o'r adroddiad

- 1 Gwnaethom ystyried persbectif defnyddwyr y gwasanaeth a'r wybodaeth am ganlyniadau a ddarparwyd i uwch swyddogion ac uwch aelodau (uwch arweinwyr), a sut y defnyddir y wybodaeth hon.
- 2 At ei gilydd, canfuom **fod y wybodaeth perfformiad a ddarparwyd gan y Cyngor i uwch arweinwyr i'w galluogi i ddeall safbwynt defnyddwyr y gwasanaeth a chanlyniadau gweithgareddau'r Cyngor yn gyfyngedig.**
- 3 Rydym wedi gwneud tri argymhelliad i gryfhau'r wybodaeth a roddir i uwch arweinwyr.
- 4 Mae ein canfyddiadau yn seiliedig ar waith maes a wnaethom rhwng mis Mehefin a mis Gorffennaf 2023.

Yr hyn yr edrychom arno – cwmpas yr archwiliad hwn

- 5 Gwnaethom ganolbwyntio ar y wybodaeth perfformiad a ddarparwyd i uwch swyddogion ac uwch aelodau (uwch arweinwyr) ynghylch persbectif a chanlyniadau defnyddwyr gwasanaeth, a sut y defnyddir y wybodaeth hon. Ni wnaethom gynnal adolygiad llawn o drefniadau rheoli perfformiad y Cyngor nac adolygiad manwl o ansawdd y data y mae'r Cyngor yn ei gasglu. Ni chanolbwyntiodd yr adolygiad ychwaith ar ymgysylltu â defnyddwyr gwasanaeth ar newidiadau gwasanaeth penodol na datblygu polisiau a strategaethau.
- 6 Rydym wedi nodi ein cwestiynau archwilio a'n meini prawf archwilio yn **Atodiad 1**. Mae'r meini prawf archwilio yn y bôn yn nodi sut beth yw da a beth fyddem yn disgwyl dod o hyd iddo.
- 7 At ei gilydd, roeddem yn chwilio am rannu gwybodaeth perfformiad gydag uwch arweinwyr i'w helpu i ddeall pa mor dda y mae gwasanaethau a pholisiau yn diwallu anghenion defnyddwyr gwasanaeth a pha mor dda y maent yn helpu'r Cyngor i gyflawni'r canlyniadau y mae'n gweithio tuag atynt. Roeddem hefyd yn edrych i weld bod uwch arweinwyr yn defnyddio'r wybodaeth hon i fonitro cynnydd a gweithredu lle bo angen i wella canlyniadau.
- 8 Mae hyn yn rhan bwysig o drefniadau i sicrhau bod cynghorau'n sicrhau gwerth am arian wrth ddefnyddio eu hadnoddau. Mae hefyd yn ffordd bwysig y gall y Cyngor sicrhau ei hun ei fod yn gweithredu yn unol â'r ffordd 'ymgysylltiad' o weithio wrth gymryd camau i gyflawni ei amcanion llesiant. Heb y wybodaeth hon, mae'n anodd gweld sut y gall uwch arweinwyr ddeall a yw eu polisiau a'u gweithredoedd yn cael yr effaith a fwriedir a gwneud newidiadau lle nad ydynt.
- 9 Mae ein canfyddiadau yn seiliedig ar adolygiadau o ddogfennau a chyfweliadau gydag Aelod y Cabinet, Prif Weithredwr ac uwch swyddogion sy'n gyfrifol am

drefniadau rheoli perfformiad y Cyngor. Mae'r dystiolaeth a ddefnyddiwyd gennym i lywio ein canfyddiadau wedi'i chyfyngu i'r ffonellau hyn.

10 Aethom ati i ateb y cwestiwn '**A yw data perfformiad y Cyngor yn galluogi uwch arweinwyr i ddeall safbwynt defnyddwyr y gwasanaeth a chanlyniadau ei weithgareddau i reoli ei berfformiad yn effeithiol?**Rydym wedi gwneud hyn drwy archwilio'r cwestiynau canlynol:

- A yw'r wybodaeth perfformiad a ddarperir i uwch arweinwyr yn cynnwys gwybodaeth briodol am safbwynt defnyddwyr gwasanaeth?
- A yw'r wybodaeth perfformiad a ddarperir i uwch arweinwyr yn cynnwys gwybodaeth briodol am ganlyniadau gweithgareddau'r Cyngor?
- A oes gan y Cyngor drefniadau cadarn i sicrhau bod y data a ddarperir yn gywir?
- A yw'r Cyngor yn defnyddio'r wybodaeth i'w helpu i gyflawni ei ganlyniadau?
- A yw'r Cyngor yn adolygu effeithiolrwydd ei drefniadau?

Pam yr ymgwymerwyd â'r archwiliad hwn

11 Cynhaliwyd yr archwiliad hwn i helpu i gyflawni dyletswyddau'r Archwilydd Cyffredinol o dan adran 17 o Ddeddf Archwilio Cyhoeddus (Cymru) 2004 (Deddf 2004) ac adran 15 o Ddeddf Llesiant Cenedlaethau'r Dyfodol (Cymru) 2015.

12 Rydym yn ceisio:

- cael sicrwydd bod y wybodaeth perfformiad y mae'r Cyngor yn ei darparu i uwch swyddogion ac aelodau etholedig yn eu galluogi i ddeall safbwynt defnyddwyr gwasanaeth a chanlyniad ei weithgareddau;
- cael sicrwydd bod y wybodaeth hon yn ffurfio rhan o drefniadau'r Cyngor i sicrhau gwerth am arian wrth ddefnyddio ei adnoddau a'i gymhwyso'r egwyddor datblygu cynaliadwy; a
- nodi cyfleoedd i'r Cyngor gryfhau ei drefniadau.

Trefniadau adrodd perfformiad y Cyngor

13 Mae'r Tîm Rheoli Corfforaethol (CMT) yn cynnal cyfarfodydd monitro perfformiad chwarterol. Mae CMT yn derbyn Adroddiadau Arsylwi chwarterol sy'n cynnwys gwybodaeth am y cynnydd tuag at amcanion llesiant; manylion perfformiad gwasanaeth; canfyddiadau archwiliad mewnol; monitro ariannol; cwynion a chanmoliaethau gwybodaeth; perygl; adborth ymgynghori; gweithlu; asedau; Caffael; ac adroddiadau rheoleiddiol. Mae'r adroddiadau hyn hefyd yn cael eu trafod gydag Aelodau'r Cabinet.

14 Mae adroddiadau perfformiad chwarterol, yn seiliedig ar y wybodaeth monitro perfformiad, yn cael eu darparu i bob pwyllgor craffu.

- 15 Cyhoeddodd y Cyngor ei Hunanasesiad Blynyddol ar gyfer 2021-22 fel rhan o'i Adroddiad Blynyddol 2021-22 Ym mis Hydref 2022. Cyn hyn, bu'r Pwyllgor Llywodraethu ac Archwilio yn ei ystyried, yn unol â gofynion Deddf Llywodraeth Leol ac Etholiadau (Cymru) 2021.
- 16 Canolbwyntiodd ein hadolygiad ar y mecanweithiau adrodd perfformiad allweddol hyn.

Yr hyn a ganfuom: mae'r wybodaeth perfformiad a ddarparwyd gan y Cyngor i uwch arweinwyr i'w galluogi i ddeall safbwynt defnyddwyr y gwasanaeth a chanlyniadau gweithgareddau'r Cyngor yn gyfyngedig

Mae'r wybodaeth perfformiad y mae'r Cyngor yn ei darparu i'w uwch arweinwyr ar safbwynt defnyddwyr gwasanaeth yn gyfyngedig

- 17 Yn gyffredinol, nid yw adroddiadau perfformiad y Cyngor yn cynnwys gwybodaeth am safbwynt defnyddwyr gwasanaeth, ar wahân i rai enghreifftiau cyfyngedig.
- 18 Diwygiodd y Cyngor ei drefniadau adrodd perfformiad yn 2021 a chyflwynodd ei Adroddiad Arsylwi chwarterol. Mae hwn yn adroddiad manwl sy'n cyflwyno perfformiad gan Amcan Llesiant ac yn dwyn ynghyd wybodaeth o ystod eang o ffynonellau. Mae'r adroddiad hwn yn cynnwys rhai naratif a mesurau sy'n ymwneud â safbwynt defnyddwyr gwasanaeth, ond mae'r enghreifftiau hyn yn gyfyngedig. Felly, mae'n anodd gweld sut y byddai uwch arweinwyr yn gallu deall pa mor dda y mae gwasanaethau a pholisïau yn diwallu anghenion defnyddwyr gwasanaeth.

Mae'r wybodaeth perfformiad y mae'r Cyngor yn ei darparu i uwch arweinwyr yn canolbwyntio'n bennaf ar weithgarwch ac allbwn, yn hytrach na gwerthuso eu heffaith

- 19 Mae'r rhan fwyaf o'r wybodaeth perfformiad y mae'r Cyngor yn ei darparu i uwch arweinwyr yn siarad am weithgareddau ac allbynnau. Gwelsom enghreifftiau cyfyngedig o ble mae'r Cyngor yn cyflwyno gwybodaeth am ganlyniadau ac asesiad o gynnydd yn erbyn y canlyniadau y mae'r Cyngor yn ceisio eu cyflawni. Mae hyn yn cyfyngu ar allu uwch arweinwyr i ddeall effaith gweithgareddau'r Cyngor ac asesu a yw'n cyflawni ei amcanion cyffredinol.
- 20 Mae Adroddiad Blynyddol y Cyngor ar gyfer 2021-22 yn cynnwys adran o dan bob un o'r 13 Amcan Llesiant o'r enw 'A oes unrhyw un yn well eu byd?' Mae'r adrannau hyn yn cynnwys enghreifftiau o astudiaethau achos i ddangos lle mae gwaith y Cyngor wedi gwneud gwahaniaeth. Mae'r enghreifftiau hyn yn cynnwys

amrywiaeth o wybodaeth, gan gynnwys adborth a dyfyniadau gan ddefnyddwyr gwasanaeth. Mae'r Adroddiadau Arsylwi chwarterol a'r dangosfyrddau cysylltiedig hefyd yn cynnwys rhai enghreifftiau o wybodaeth am ganlyniadau. Gall rhannu'r wybodaeth hon helpu uwch arweinwyr i ddeall effaith gweithgareddau'r Cyngor. Fodd bynnag, nid yw'r nifer fach o enghreifftiau yn rhoi darlun cynhwysfawr o berfformiad ac nid yw'n galluogi uwch arweinwyr i ddeall effaith gweithgareddau'r Cyngor yn llawn.

Mae gan y Cyngor drefniadau cyfyngedig i sicrhau bod persbectif defnyddwyr gwasanaeth a gwybodaeth ganlyniadau a ddarperir i uwch arweinwyr yn gywir

- 21 Nid oes gan y Cyngor drefniadau cynhwysfawr ar waith i wirio ansawdd data gwybodaeth perfformiad sy'n ymwneud â chanlyniadau a phersbectif defnyddwyr y gwasanaeth fel mater o drefn. Mae Tîm Perfformiad Corfforaethol y Cyngor yn 'gwirio synnwyr' y data y maent yn ei gasglu ar gyfer adroddiadau chwarterol trwy chwilio am werthoedd neu anghysondebau pellgyrhaeddol. Mae'r Tîm Perfformiad Corfforaethol yn dibynnu ar reolwyr gwasanaethau i roi gwybodaeth gywir i'r system rheoli perfformiad.
- 22 Mae gan y Cyngor set o gardiau cofnodi sy'n esbonio'r manylion y tu ôl i bob mesur perfformiad y mae'n ei ddefnyddio. Mae'r cardiau'n manylu ar amllder adrodd, perchennog, ffynhonnell, cyfrifo a chyfeiriad gwella fesul mesur. Mae'r trefniant hwn yn darparu trylwyredd a chysondeb ar gyfer y mesurau y mae'r Cyngor yn eu defnyddio, ond nid oes trefniadau ar waith i wirio cywirdeb y data a ddefnyddir yn y cyfrifiadau.
- 23 Adolygodd tîm Archwilio Mewnol y Cyngor drefniadau rheoli perfformiad y Cyngor ym mis Gorffennaf 2022. Canfu Archwilio Mewnol nad oedd mecanwaith ar waith i roi sicrwydd bod y data perfformiad yn adlewyrchiad cywir o'r sefyllfa wirioneddol. Nododd adroddiad Archwilio Mewnol fod data a gofnodwyd gan reolwyr yn cael ei dderbyn fel rhai cywir ac nad oedd gwiriadau dilynol ar waith i sicrhau cywirdeb y data.
- 24 Mae Fframwaith Rheoli Perfformiad y Cyngor yn nodi bod y Tîm Risg ac Archwilio Mewnol yn gyfrifol am asesu effeithiolrwydd mecanweithiau rheoli mewnol, gan gynnwys sicrhau ansawdd gwybodaeth am berfformiad. Fodd bynnag, ar wahân i'r adolygiad ehangach a grybwyllwyd uchod, ni ddaethon ni o hyd i unrhyw dystiolaeth bod tîm Archwilio Mewnol y Cyngor wedi cwblhau adolygiadau ansawdd data yn ystod y pum mlynedd diwethaf.
- 25 O ganlyniad i'r ffaith bod gan y Cyngor drefniadau cyfyngedig ar waith i wirio cywirdeb ei bersbectif defnyddwyr gwasanaeth a'i wybodaeth ganlyniadau, mae perygl bod y camau a'r penderfyniadau y mae'n eu cymryd, a'r adnoddau y mae'n eu defnyddio, yn seiliedig ar wybodaeth anghywir.

Gan fod y wybodaeth a ddarperir ar ganlyniadau a safbwynt defnyddwyr gwasanaeth yn gyfyngedig, mae i ba raddau y gall y Cyngor ddefnyddio'r wybodaeth hon i'w helpu i gyflawni ei ganlyniadau hefyd yn gyfyngedig.

- 26 Fel y nodir uchod, ein prif ganfyddiad yw bod y Cyngor yn darparu gwybodaeth perfformiad gyfyngedig i uwch arweinwyr i'w galluogi i ddeall safbwynt defnyddwyr gwasanaeth a chanlyniadau gweithgareddau'r Cyngor. Felly, mae'n dilyn yn rhesymegol bod y Cyngor yn defnyddio persbectif defnyddwyr gwasanaeth a gwybodaeth ganlyniadau i'w helpu i gyflawni ei ganlyniadau o'r wybodaeth hon am berfformiad yn gyfyngedig.
- 27 Pan ddaethom o hyd i enghreifftiau o'r Cyngor yn darparu gwybodaeth am safbwynt defnyddwyr gwasanaeth a chanlyniadau, gwelsom rywfaint o dystiolaeth bod y Cyngor yn defnyddio'r wybodaeth hon i wneud newidiadau. Er enghraifft, mae'r Cyngor yn derbyn ac yn cofnodi gwybodaeth am gwynion ac yn monitro canlyniadau'r camau y mae'n eu cymryd mewn ymateb i'r cwynion hynny. Mae'r Adroddiadau Arsylwi chwarterol hefyd yn cynnwys enghreifftiau pellach, megis atal digartrefedd ac ymateb i dipio anghyfreithlon.

Mae'r Cyngor yn cydnabod bod angen iddo gryfhau'r wybodaeth y mae'n ei darparu i'w uwch arweinwyr i'w helpu i ddeall safbwynt defnyddwyr y gwasanaeth yn well ac mae wedi bod yn archwilio sut mae cynghorau eraill yn gwneud hyn.

- 28 Yn ddiweddar, mae'r Cyngor wedi adolygu'r wybodaeth perfformiad y mae'n ei darparu i uwch arweinwyr. Ar gyfer blwyddyn ariannol 2020-21, creodd yr Adroddiadau Arsylwi chwarterol i ddod ag ystod o wybodaeth am berfformiad ynghyd mewn un lle. Fodd bynnag, nid oedd yr adolygiad hwn yn canolbwyntio ar ddarparu gwybodaeth i uwch arweinwyr er mwyn deall safbwynt defnyddwyr gwasanaeth a/neu ganlyniadau gweithgareddau'r Cyngor yn well.
- 29 Mae'r Cyngor yn cydnabod nad yw safbwynt defnyddwyr gwasanaeth a chyflawniad canlyniadau yn cael eu cynrychioli'n dda yn ei drefniadau adrodd perfformiad presennol. Yn ei Adroddiad Blynyddol ar gyfer 2021-22, nododd yr angen i ddatblygu ei drefniadau monitro ac adrodd perfformiad ymhellach.
- 30 O ganlyniad, mae'r Cyngor wrthi'n datblygu Ystafell Data Corfforaethol (CDS) a fydd yn cynnwys cyfres o ddangosyddion poblogaeth yn ogystal â mesurau lefel gwasanaeth. Mae wedi cynhyrchu 'fersiwn gychwynol' o'r CDS i uwch arweinwyr ei ddefnyddio a rhoi adborth arno. Bydd y CDS yn defnyddio ystod o fesurau safbwynt defnyddwyr gwasanaeth sydd ar hyn o bryd yn yr ymarfer ymgynghori blynyddol y mae'r Cyngor yn ei gynnal gyda'i drigolion. Bydd yn bwysig i'r Cyngor sicrhau bod y wybodaeth hon yn deillio o amrywiaeth defnyddwyr gwasanaeth gan gynnwys grwpiau sy'n rhannu nodweddion gwarchoddedig.
- 31 Ers 2022, mae'r Cyngor yn arolygu trigolion, busnesau lleol, staff ac undebau llafur i lywio cynllunio a blaenoriaethu yn y dyfodol. Mae'r Cyngor yn cyflwyno

canfyddiadau'r arolygon hyn yn ei Adroddiad Blynyddol. Mae'r Cyngor wedi nodi bod ganddo ffynhonnell gyfoethog o ddata yn yr arolygon hyn ac mae wedi cydnabod y gall ddefnyddio'r wybodaeth hon wrth symud ymlaen i ddarparu persbectif defnyddwyr gwasanaeth yn well. Ar hyn o bryd mae'r Cyngor yn cynllunio sut y gall gyflwyno'r wybodaeth hon i uwch arweinwyr fel rhan o'i drefniadau adrodd perfformiad.

- 32 Mae Strategaeth Gorfforaethol ddiweddaraf 2022-27 yn rhestru'n glir y canlyniadau y mae'r Cyngor yn anelu at eu cyflawni o dan ei bedwar Amcan Llesiant. Er mwyn cyflawni'r canlyniadau, mae'r Cyngor wedi nodi thematig (e.e. trechu tlodi) a blaenoriaethau gwasanaeth (e.e. tai) y bydd yn canolbwyntio arnynt. Mae'r Cyngor yn bwriadu i ni ei drefniadau adrodd perfformiad newydd, yn seiliedig ar yr Ystafell Datblygu Corfforaethol, i adrodd ar flaenoriaethau, themâu a chanlyniadau gwasanaethau.
- 33 Wrth gydnabod yr angen i gynnwys mwy o wybodaeth am safbwynt defnyddwyr gwasanaeth, mae'r Cyngor wedi edrych ar gynghorau eraill ledled y Deyrnas Unedig i weld sut maen nhw'n casglu ac yn cyflwyno'r wybodaeth hon. Mae'r Cyngor hefyd yn defnyddio ystod o rwydweithiau anffurfiol a ffurfiol i ddatblygu ei drefniadau rheoli perfformiad yn y dyfodol. Mae dysgu sut mae sefydliadau eraill yn darparu gwybodaeth am bersbectif a chanlyniadau defnyddwyr gwasanaeth yn elfen bwysig o drefniadau'r Cyngor i sicrhau gwerth am arian. Felly, bydd yn bwysig bod y Cyngor yn parhau i feincnodi ei drefniadau gyda'r rhai o sefydliadau eraill.

Argymhellion

Arddangosyn 1: argymhellion

Gwybodaeth am safbwynt defnyddiwr y gwasanaeth

- A1 Dylai'r Cyngor sicrhau bod y wybodaeth a ddarperir i'w uwch arweinwyr yn eu galluogi i ddeall pa mor dda y mae gwasanaethau a pholisïau yn diwallu anghenion defnyddwyr gwasanaeth. Dylai hyn gynnwys cryfhau ei drefniadau i sicrhau ei hun bod y wybodaeth hon yn deillio o amrywiaeth defnyddwyr gwasanaeth.

Gwybodaeth am gynnydd tuag at ganlyniadau

- A2 Dylai'r Cyngor gryfhau'r wybodaeth a ddarperir i uwch arweinwyr i'w helpu i werthuso a yw'r Cyngor yn cyflawni ei amcanion a'i ganlyniadau arfaethedig.

Ansawdd a chywirdeb data

A3 Dylai'r Cyngor sicrhau ei hun bod ganddo drefniadau cadarn i wirio ansawdd a chywirdeb y wybodaeth y mae'n ei darparu i uwch arweinwyr sy'n ymwneud â phersbectif a chanlyniadau defnyddwyr gwasanaeth.

Atodiad 1

Cwestiynau allweddol a'r hyn yr ydym yn chwilio amdano

Arddangosyn 2: cwestiynau allweddol a'r hyn yr ydym yn chwilio amdano

Mae'r tabl isod yn nodi'r cwestiwn yr oeddem yn ceisio ei ateb wrth gynnal yr archwiliad hwn, ynghyd â'r meini prawf archwilio a ddefnyddiwyd gennym i gyrraedd ein canfyddiadau.

Lefel 1	
A yw data perfformiad y Cyngor yn galluogi uwch arweinwyr i ddeall safbwynt defnyddwyr y gwasanaeth a chanlyniadau ei weithgareddau i reoli ei berfformiad yn effeithiol?	
Lefel 2	Meini prawf archwilio ¹ (yr hyn yr ydym yn chwilio amdano)
2.1 A yw'r wybodaeth perfformiad a ddarperir i uwch arweinwyr yn cynnwys gwybodaeth briodol am safbwynt defnyddwyr gwasanaeth?	<ul style="list-style-type: none">• Y wybodaeth yw:<ul style="list-style-type: none">– berthnasol i'r amcanion y mae'r Cyngor wedi'u gosod ei hun;– yn ddigon i alluogi dealltwriaeth o safbwynt defnyddwyr y gwasanaeth;– yn ddigon i ddarparu dealltwriaeth o gynnydd tuag at y canlyniadau y mae'r Cyngor yn bwriadu eu cyflawni;– yn deillio o amrywiaeth defnyddwyr gwasanaeth gan gynnwys grwpiau sy'n rhannu nodweddion gwarchoddedig; a– ddefnyddir i lywio cymariaethau â pherfformiad cyrff tebyg lle bo hynny'n berthnasol.• Mae'r Cyngor wedi cynnwys defnyddwyr gwasanaeth wrth benderfynu pa wybodaeth i'w chasglu.

¹ Mae ein meini prawf archwilio wedi cael eu llywio gan ein gwybodaeth gronol o waith archwilio blaenorol, yn ogystal â'r hierarchaeth gwestiynau a'r dangosyddion cadarnhaol yr ydym wedi'u datblygu i gefnogi ein harholiadau egwyddor datblygu cynaliadwy.

Lefel 1

A yw data perfformiad y Cyngor yn galluogi uwch arweinwyr i ddeall safbwynt defnyddwyr y gwasanaeth a chanlyniadau ei weithgareddau i reoli ei berfformiad yn effeithiol?

Lefel 2

Meini prawf archwilio¹ (yr hyn yr ydym yn chwilio amdano)

2.2 A yw'r wybodaeth perfformiad a ddarperir i uwch arweinwyr yn cynnwys gwybodaeth briodol am ganlyniadau gweithgareddau'r Cyngor?

- Mae'r wybodaeth yn defnyddio amrywiaeth o ffynonellau tystiolaeth i roi golwg gyfannol ar gynnydd.
- Mae'r wybodaeth yn galluogi uwch arweinwyr i fonitro cynnydd yn y tymor byr, canolig a hir.
- Mae'r wybodaeth yn galluogi uwch arweinwyr i fonitro darpariaeth canlyniadau sy'n cwmpasu sawl maes gwasanaeth a/neu sefydliad.

2.3 A oes gan y Cyngor drefniadau cadarn i sicrhau bod y data a ddarperir yn gywir?

- Mae gan y Cyngor drefniadau clir i wirio ansawdd a chywirdeb y data y mae'n ei ddarparu i uwch arweinwyr.
- Lle nodir gwendidau o ran ansawdd data, mae'r Cyngor yn mynd i'r afael â nhw.

2.4 A yw'r Cyngor yn defnyddio'r wybodaeth i'w helpu i gyflawni ei ganlyniadau?

- Lle nodir perfformiad gwael, mae'r Cyngor yn defnyddio'r wybodaeth i wneud newidiadau/ymyriadau.
- Mae tystiolaeth bod y Cyngor yn gwella ei gynnydd tuag at ei ganlyniadau o ganlyniad i ymyriadau.

2.5 A yw'r Cyngor yn adolygu effeithiolrwydd ei drefniadau?

- Mae'r Cyngor yn adolygu'r wybodaeth a ddarperir i uwch arweinwyr er mwyn sicrhau ei bod yn briodol ac yn berthnasol.
- Mae'r Cyngor yn cymharu'r wybodaeth y mae'n ei chasglu gyda'r wybodaeth a gesglir gan sefydliadau tebyg i nodi cyfleoedd i gryfhau ei drefniadau.



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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.

Organisational response

Report title: Use of Performance Information: Service User Perspective and Outcomes

Completion date: January 2024

Document reference: 3980A2023

Ref	Recommendation	Organisational response <small>Please set out here relevant commentary on the planned actions in response to the recommendations</small>	Completion date <small>Please set out by when the planned actions will be complete</small>	Responsible officer (title)
R1	<p>Information on the perspective of the service user</p> <p>The Council should ensure that the information provided to its senior leaders enables them to understand how well services and policies are meeting the needs of service users. This should include strengthening its arrangements to assure itself that this information is drawn from the diversity of service users.</p>	<ul style="list-style-type: none"> Develop a new involvement strategy which will allow for the collection of service user perspective information from the diversity of service users. Utilise the findings of consultation activity undertaken by the Council and relevant stakeholders to identify areas of focus for further targeted service user engagement. Map existing and planned activity which aims to capture the service user perspective by Council services and ensure that this feeds into wider corporate reporting. 	<p>July 2024</p> <p>Ongoing as part of Service Delivery Plans</p> <p>May 2024</p>	<p>Deina Hockenhull and Gwyneth Ayers</p> <p>Rachel Clegg / Robert James</p> <p>Rachel Clegg / Robert James</p>

R2	Information on progress towards outcomes The Council should strengthen the information provided to senior leaders to help them evaluate whether the Council is delivering its objectives and intended outcomes.	<ul style="list-style-type: none"> We will ensure that the developing Corporate Data Suite, which will focus on monitoring delivery against the Corporate Strategy objectives and outcomes, also embeds service user perspective and feedback as part of its performance monitoring framework. 	March 2025	Rachel Clegg
R3	Quality and accuracy of data The Council should assure itself that it has robust arrangements to check the quality and accuracy of the information it provides to senior leaders relating to service user perspective and outcomes.	<ul style="list-style-type: none"> To review and amend as necessary our arrangements to check the quality and accuracy of our performance information. 	March 2025	Rachel Clegg / Robert James

**PWYLLGOR LLYWODRAETHU AC ARCHWILIO
8 MAWRTH 2024**

**ADOLYGIAD DILYNOL ARCHWILIO CYMRU O'R TREFNIADAU
CORFFORAETHOL AR GYFER DIOGELU – CYNGOR SIR
CAERFYRDDIN**

Yr argymhellion / penderfyniadau allweddol sydd eu hangen:

Nodi adroddiad Archwilio Cymru ac ymateb Cyngor Sir Caerfyrddin i argymhellion yr adroddiad sy'n berthnasol i'r Cyngor.

Y Rhesymau:

Mae'n ddyletswydd arnom i ystyried argymhellion yr adroddiad rheoleiddiol a'r Cynigion ar gyfer Gwella.

Angen i'r Cabinet wneud penderfyniad NAC OES

Angen i'r Cyngor wneud penderfyniad NAC OES

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

Y Cynghorydd Jane Tremlett, Aelod Cabinet dros Iechyd a Gwasanaethau Cymdeithasol.

Adran Cymunedau a'r Prif Weithredwr	Swyddi:	Ffôn:
Avril Bracey	Pennaeth Gofal Cymdeithasol i Oedolion	ABracey@sirgar.gov.uk
Paul Thomas	Prif Weithredwr Cynorthwyol (Rheoli Pobl)	PRThomas@sirgar.gov.uk

EXECUTIVE SUMMARY

AUDIT WALES FOLLOW-UP REVIEW OF CORPORATE ARRANGEMENTS FOR SAFEGUARDING – CARMARTHENSHIRE COUNTY COUNCIL

SUMMARY OF PURPOSE OF REPORT.

- In 2015 the Auditor General for Wales published a report into the Review of Corporate Safeguarding Arrangements in Welsh Councils. That report made eight recommendations, of which seven related directly to councils and one related to Welsh Government. This review focuses on whether the Carmarthenshire County Council has addressed the recommendations in the 2015 national report.
- The review focussed on the Council-wide corporate arrangements for safeguarding. It was not a review of specific safeguarding arrangements in Education or Social Services.
- The report examines progress against the eight recommendations in the 2015 national report on corporate safeguarding.
- In addition, it makes 5 new recommendations arising from the follow up review.

Key finding:

That the Council has not addressed all the recommendations in the 2015 national report on corporate safeguarding and there are weaknesses in its corporate safeguarding oversight and assurance arrangements that need addressing so the Council can assure itself that risk is minimised.

The Council has drafted an action plan in response and several actions have been completed already. These are documented in the attached action plan response.

DETAILED REPORT ATTACHED?

YES

1. Audit Wales Report
2. Carmarthenshire County Council 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: Avril Bracey, Head of Adult Social Services
Paul Thomas, Assistant Chief Executive (People Management)

Policy, Crime & Disorder and Equalities	Legal	Finance	ICT	Risk Management Issues	Staffing Implications	Physical Assets	Bio-diversity & Climate Change
YES	NONE	NONE	NONE	YES	YES	NONE	NONE

1. Policy, Crime & Disorder and Equalities

- 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 the lead Director, Cabinet Member, Governance and Audit Committee and where appropriate relevant scrutiny committees.
- 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.
- Some reports may also be relevant for consideration by scrutiny committees.

5. Risk Management Issues

Recommendation 5 in the report makes recommendations on Risk Management.

7. Staffing Implications

Recommendations 2 and 3 in the report:

- R2 - Safe recruitment of staff and volunteers
- R3 - Safeguarding Training

CONSULTATIONS

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

Signed: Avril Bracey, Head of Adult Social Services
 Paul Thomas, Assistant Chief Executive (People Management)

1. Scrutiny Committee request for pre-determination	N/A
If yes include the following information: -	
Scrutiny Committee	
Date the report was considered:-	
Scrutiny Committee Outcome/Recommendations:-	

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

CABINET MEMBER PORTFOLIO HOLDER(S) AWARE/CONSULTED YES	Cllr. Jane Tremlett
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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
None		

Adolygiad Dilynol o'r Trefniadau Corfforaethol ar gyfer Diogelu – Cyngor Sir Caerfyrddin

Blwyddyn archwilio: 2023-24

Dyddiad cyhoeddi: Rhagfyr 2023

Cyfeirnod y ddogfen: 3788A2023

Paratowyd y ddogfen hon fel rhan o waith a gyflawnir yn unol â swyddogaethau statudol.

Mewn achos o dderbyn cais am wybodaeth y gall y ddogfen hon fod yn berthnasol iddo, tynnir sylw at y Cod Ymarfer a gyhoeddwyd o dan adran 45 o Ddeddf Rhyddid Gwybodaeth 2000. Mae'r cod adran 45 yn nodi'r arfer wrth ymdrin â cheisiadau a ddisgwylir gan awdurdodau cyhoeddus, gan gynnwys ymgynghori â thrydydd partïon perthnasol. O ran y ddogfen hon, mae Archwilydd Cyffredinol Cymru a Swyddfa Archwilio Cymru yn drydydd partïon perthnasol. Dylid anfon unrhyw ymholiadau ynghylch datgelu neu aildefnyddio'r ddogfen hon at Archwilio Cymru yn yswyddog.gwybodaeth@archwilio.cymru.

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. This document is also available in English.

Cynnwys

Adroddiad cryno

Nid yw'r Cyngor wedi mynd i'r afael â'r holl argymhellion yn ein hadroddiad cenedlaethol ar ddiogelu corfforaethol 2015 ac mae gwendidau yn ei drefniadau goruchwyllo a sicrwydd diogelu corfforaethol y mae angen mynd i'r afael â nhw fel y gall y Cyngor sicrhau ei hun bod y risg yn cael ei leihau

4

Argymhellion

6

Adroddiad manwl

Asesu cynnydd y Cyngor yn erbyn yr argymhellion

9

Adroddiad cryno

Nid yw'r Cyngor wedi mynd i'r afael â'r holl argymhellion yn ein hadroddiad cenedlaethol ar ddiogelu corfforaethol 2015 ac mae gwendidau yn ei drefniadau goruchwyllo a sicrwydd diogelu corfforaethol y mae angen mynd i'r afael â nhw fel y gall y Cyngor sicrhau ei hun bod y risg yn cael ei leihau

Yr hyn yr ydym yn ei adolygu a pham

- 1 Yn 2015 cyhoeddodd Archwilydd Cyffredinol Cymru adroddiad i'r Adolygiad o Drefniadau Diogelu Corfforaethol yng Nghyngorau Cymru. Gwnaeth yr adroddiad hwnnw wyth argymhelliad, gyda saith ohonynt yn ymwneud yn uniongyrchol â chynghorau ac un yn ymwneud â Llywodraeth Cymru. Yn yr adolygiad dilynol hwn rydym wedi canolbwyntio ar a yw'r Cyngor wedi mynd i'r afael â'r argymhellion yn adroddiad cenedlaethol 2015.
- 2 Mae trefniadau effeithiol ar gyfer diogelu corfforaethol yn bwysig i'r Cyngor sicrhau bod ei drigolion – yn blant ac oedolion yn y sir - yn cael eu cadw'n ddiogel rhag niwed. Canolbwyntiodd ein hadolygiad ar drefniadau corfforaethol y Cyngor gyfan ar gyfer diogelu. Nid oedd yn adolygiad o drefniadau diogelu penodol mewn Addysg na Gwasanaethau Cymdeithasol.
- 3 Gwnaethom gynnal yr adolygiad rhwng mis Mehefin a mis Awst 2023.

Yr hyn a ganfuom

- 4 Rydym yn cynnwys crynodeb o'n canfyddiadau yn **Arddangosyn 3**. Yn gyffredinol, canfuom nad **yw'r Cyngor wedi mynd i'r afael â'r holl argymhellion yn ein hadroddiad cenedlaethol yn 2015 ar ddiogelu corfforaethol ac mae gwendidau yn ei drefniadau goruchwyllo a sicrwydd diogelu corfforaethol y mae angen mynd i'r afael â nhw fel y gall y Cyngor sicrhau ei hun bod y risg yn cael ei leihau.**
- 5 Mae'r meysydd allweddol lle mae angen i'r Cyngor gryfhau trefniadau yn cynnwys:
 - ei oruchwyliaeth o hyfforddiant recriwtio a diogelu diogel i sicrhau bod dyletswyddau diogelu yn cael eu cadw a'u bod yn deall cyfrifoldebau; a
 - monitro ac adrodd ar effeithiolrwydd ei drefniadau diogelu corfforaethol, gan gynnwys darparu adroddiad blynyddol i uwch swyddogion ac Aelodau Etholedig, er mwyn sicrhau ei hun bod ganddo drefniadau priodol ar waith ar gyfer diogelu corfforaethol.

- 6 Rydym yn cydnabod bod y Cyngor yn cymryd camau ar hyn o bryd i gryfhau ei bolisiau Adnoddau Dynol mewn perthynas â diogelu. Mae hefyd yn bwriadu cyflwyno systemau newydd yn hydref 2023 i gryfhau ei oruchwyliaeth o hyfforddiant diogelu a chydymffurfio â gwiriadau'r Gwasanaeth Datgelu a Gwahardd (DBS).
- 7 Rydym wedi cyhoeddi argymhellion newydd yn yr adroddiad hwn yn **Arddangosyn 2**.

Arddangosyn 1: trosolwg o'r canfyddiadau

Mae'r tabl isod yn nodi trosolwg o'n canfyddiadau yn erbyn yr wyth argymhelliad yn ein hadroddiad cenedlaethol yn 2015 ar ddiogelu corfforaethol. Rydym yn darparu manylion pellach yn **Arddangosyn 3**.

Argymhellion 2015	Maes pwnc	Archwilio Cymru yn canfod
A1	Gwella arweinyddiaeth gorfforaethol a chydymffurfio â pholisi Llywodraeth Cymru ar ddiogelu.	Yn rhannol gyda
A2	Sicrhau bod polisi cyffredinol ar ddiogelu holl wasanaethau'r cyngor i ddarparu cyfeiriad strategol clir a llinellau atebolrwydd clir ar draws y cyngor.	Yn rhannol gyda
A3	Cryfhau recriwtio staff a gwirfoddolwyr yn ddiogel.	Heb ei gyfarfod
A4	Sicrhau bod yr holl staff, aelodau a phartneriaid perthnasol yn deall eu cyfrifoldebau diogelu	Heb ei gyfarfod
A5	Roedd yr argymhelliad hwn ar gyfer Llywodraeth Cymru.	AMH
A6	Gwella atebolrwydd ar gyfer diogelu corfforaethol drwy adrodd yn rheolaidd am	Heb ei gyfarfod

Argymhellion 2015	Maes pwnc	Archwilio Cymru yn canfod
	faterion diogelu a sicrwydd i bwyllgorau (au) craffu yn erbyn set gytbwys a ledled y cyngor o wybodaeth am berfformiad.	
A7	Sefydlu rhaglen dreigl o adolygiadau archwilio mewnol i gynnal profion systemau ac adolygiadau cydymffurfio ar arferion diogelu'r cyngor.	Bodloni
A8	Sicrhau bod y risgiau sy'n gysylltiedig â diogelu yn cael eu hystyried ar lefel gorfforaethol a gwasanaeth wrth ddatblygu a chytuno ar gynlluniau rheoli risg ar draws y Cyngor.	Bodloni

Argymhellion

Arddangosyn 2: argymhellion newydd sy'n deillio o'r adolygiad dilynol hwn

Mae'r tabl isod yn nodi'r argymhellion newydd yr ydym wedi'u nodi ar gyfer y Cyngor o'r adolygiad dilynol hwn.

Argymhellion newydd yn deillio o'r adolygiad dilynol hwn

A1 Swyddogaethau, cyfrifoldebau a threfniadau llywodraethu

- a) Dylai'r Cyngor egluro pwy fydd yr Aelod Arweiniol dros Ddiogelu Corfforaethol a sicrhau'r canlynol:
 - bod cyfansoddiad y Cyngor yn nodi'n glir pwy yw'r Aelod Arweiniol dros Ddiogelu Corfforaethol a'i fod yn gyson â Pholisi Diogelu Corfforaethol y Cyngor;
 - bod diogelu corfforaethol yn cael ei adlewyrchu yn yr Aelod Cabinet perthnasol a chyfrifoldebau portffolio perthnasol y Pwyllgor Craffu; a

Argymhellion newydd yn deillio o'r adolygiad dilynol hwn

- bod y wybodaeth honno am rôl Aelod Arweiniol ar gyfer diogelu corfforaethol yn cael ei chyfleu i'r holl staff a rhanddeiliaid, gan gynnwys diweddarau gwefan y Cyngor.

Bydd hyn yn helpu i egluro cyfrifoldebau ac yn hwyluso atebolrwydd.

- Dylai'r Cyngor ddiweddarau ei Bolisi Diogelu Corfforaethol i sicrhau bod y trefniadau llywodraethu a'r oruchwyliaeth ar gyfer diogelu corfforaethol wedi'u nodi'n glir, gan gynnwys nodi pa bwyllgor craffu fydd â goruchwyliaeth o drefniadau diogelu corfforaethol.
- Dylai'r Cyngor sicrhau bod enw'r Grŵp Swyddogion Diogelu Corfforaethol yn cael ei ddefnyddio'n gyson yn ei ddogfennaeth ar ddiogelu er mwyn sicrhau eglurder ac osgoi unrhyw ddryswch.
- Dylai'r Cyngor sicrhau ei hun bod y Grŵp Swyddogion Diogelu Corfforaethol yn cyflawni ei rôl yn effeithiol ac yn unol â'i Gylch Gorchwyl.

A2 Recriwtio staff a gwirfoddolwyr yn ddiogel

- Mae angen i'r Cyngor gryfhau ei drefniadau presennol ar gyfer monitro cydymffurfiaeth â gwiriadau DBS ar gyfer staff ac yn arbennig ar gyfer gwirfoddolwyr a rhoi trefniadau goruchwyllo corfforaethol effeithiol ar waith i sicrhau bod arferion recriwtio diogel yn cael eu dilyn i amddiffyn defnyddwyr gwasanaethau.
- Dylai'r Cyngor adolygu ei broses ddiwygiedig o ddefnyddio asesiadau risg i ganiatáu i staff weithio cyn i'r gwiriadau DBS gofynnol gael eu derbyn (a gyflwynwyd mewn ymateb i heriau a gyflwynwyd yn ystod pandemig Covid-19), er mwyn sicrhau ei hun bod ganddo drefniadau recriwtio diogel ar waith, y cydymffurfir â hwy yn llawn, ac nad ydynt yn peryglu'r Cyngor a'i ddefnyddwyr gwasanaeth.
- Dylai'r Cyngor sicrhau ei hun bod ganddo drefniadau ar waith i sicrhau y cedwir at ddarpariaethau cytundebol mewn perthynas â diogelu ac mae'r rhai a gomisiynir i wneud gwaith ar ran y Cyngor yn cyflawni eu cyfrifoldebau diogelu, a thrwy hynny leihau'r risg i'r Cyngor a'i drigolion.

A3 Hyfforddiant diogelu

Dylai'r Cyngor sicrhau bod goruchwyliaeth gorfforaethol effeithiol o ran cydymffurfio â hyfforddiant diogelu a ddarperir i'r holl staff, Aelodau Etholedig, llywodraethwyr ysgol a gwirfoddolwyr i sicrhau ei hun bod cyfrifoldebau diogelu yn cael eu deall.

Argymhellion newydd yn deillio o'r adolygiad dilynol hwn

A4 Adrodd ar ddiogelu corfforaethol

Dylai'r Cyngor gryfhau ei adroddiadau ar effeithiolrwydd ei drefniadau corfforaethol ar gyfer diogelu i'r Tîm Rheoli Corfforaethol ac Aelodau Etholedig, gan gynnwys darparu gwybodaeth am berfformiad. Bydd hyn yn helpu i gryfhau trefniadau goruchwyliaeth a sicwydd y Cyngor ar gyfer diogelu corfforaethol a sicrhau ei fod yn cymhwyso ei Bolisi Diogelu Corfforaethol yn ymarferol.

A5 Rheoli risg

- a) Dylai'r Cyngor ystyried a ddylid adfer risg diogelu corfforaethol benodol ar ei gofrestr risg gorfforaethol i gryfhau goruchwyliaeth gorfforaethol.
- b) Dylai'r Cyngor sicrhau ei hun bod pob adran yn ystyried risgiau diogelu yn llawn ac, os yw'n briodol, yn cynnwys y risgiau hynny yn y cofrestrau risg adrannol. Yna gellir rheoli a lliniaru risgiau o'r fath.

Adroddiad manwl

Asesiad o gynnydd y Cyngor yn erbyn yr argymhellion a gyhoeddwyd yn ein hadroddiad cenedlaethol 'Adolygiad o Drefniadau Diogelu Corfforaethol yng Nghyngor Cymru' (2015)

Arddangosyn 3: argymhellion o'n hadroddiad cenedlaethol yn 2015, ein canfyddiadau o'r adolygiad dilynol hwn, a nodwyd camau gweithredu yn y dyfodol

Mae'r tabl isod yn nodi crynodeb o'n canfyddiadau yn erbyn pob argymhelliad a gyhoeddwyd yn ein hadroddiad cenedlaethol yn 2015.

Argymhellion o'n hadroddiad cenedlaethol yn 2015, ein canfyddiadau o'r adolygiad dilynol hwn, a nodwyd camau gweithredu yn y dyfodol

Argymhelliad 1 (o'n hadroddiad cenedlaethol yn 2015) – Gwella arweinyddiaeth gorfforaethol a chydymffurfio â pholisi Llywodraeth Cymru ar ddiogelu drwy:

- penodi uwch swyddog arweiniol sy'n gyfrifol am ddiogelu ac amddiffyn plant a phobl ifanc sydd â chyfrifoldebau corfforaethol dros gynllunio gwelliannau;
- penodi aelod arweiniol ar gyfer diogelu; a
- lledaenu a diweddarau gwybodaeth am y penodiadau hyn yn rheolaidd i'r holl staff a rhanddeiliaid.

Argymhellion o'n hadroddiad cenedlaethol yn 2015, ein canfyddiadau o'r adolygiad dilynol hwn, a nodwyd camau gweithredu yn y dyfodol

Dod o hyd i'r adolygiad dilynol hwn – cafodd argymhelliad ei fodloni'n rhannol

- Mae'r sefyllfa o ran yr uwch swyddog arweiniol ar gyfer diogelu yn glir. Mae'r Cyngor wedi penodi'r Cyfarwyddwr Cymunedau fel yr uwch swyddog arweiniol ar gyfer diogelu. Mae'r Polisi Diogelu Corfforaethol yn nodi gwybodaeth am rôl yr uwch swyddog arweiniol ar gyfer diogelu. Mae hyn yn rhoi'r eglurder angenrheidiol dros atebolrwydd terfynol ar gyfer diogelu.
- Bu diffyg eglurder ynghylch rôl Aelod Arweiniol ar gyfer diogelu corfforaethol. Mae Polisi Diogelu Corfforaethol y Cyngor yn nodi mai'r Aelod Arweiniol/Hyrwyddwr ar gyfer diogelu corfforaethol yw Arweinydd y Cyngor. Fodd bynnag, nid yw'r cyfrifoldeb hwn wedi'i gynnwys yng nghyfrifoldebau portffolio'r Arweinydd yng nghyfansoddiad y Cyngor nac yn adran portffolios y Cabinet ar wefan y Cyngor. Nodir yn y cyfansoddiad mai 'Diogelu Oedolion' a 'Diogelu Plant' yw cyfrifoldebau'r Aelod Cabinet dros lechyd a Gwasanaethau Cymdeithasol. Mae hyn wedi arwain at ddryswch mewnol ynghylch pwy sy'n gyfrifol am ddiogelu **corfforaethol**.
- O ganlyniad, mae hepgor diogelu corfforaethol o bortffolio cyfrifoldebau'r Arweinydd yn y cyfansoddiad wedi gadael bwlch o ran goruchwyllo craffu ar ddiogelu corfforaethol.
- Deallwn fod y Cyngor, o ganlyniad i'n hadolygiad dilynol, yn ystyried newid rôl yr Aelod Arweiniol ar gyfer diogelu corfforaethol gan yr Arweinydd i bortffolio cyfrifoldebau'r Aelod Cabinet dros lechyd a Gwasanaethau Cymdeithasol. Mae egluro'r trefniadau ar gyfer yr Aelod Arweiniol dros Ddiogelu Corfforaethol yn bwysig fel bod goruchwyliaeth ac atebolrwydd priodol a chlir ar gyfer diogelu corfforaethol o fewn y Cyngor.

Angen gweithredu yn y dyfodol – Er mwyn i bawb fod yn glir, dylai'r Cyngor egluro pwy yw'r Aelod Arweiniol dros ddiogelu corfforaethol. Wrth wneud hynny, dylai sicrhau bod ei gyfansoddiad yn nodi'n glir pwy yw'r Aelod Arweiniol dros Ddiogelu Corfforaethol, bod hyn yn gyson â Pholisi Diogelu Corfforaethol y Cyngor, a bod diogelu corfforaethol yn cael ei adlewyrchu yn yr Aelod Cabinet perthnasol a chyfrifoldebau portffolio craffu cysylltiedig. Dylai'r Cyngor hefyd sicrhau bod gwybodaeth am rôl Aelod Arweiniol ar gyfer diogelu corfforaethol yn cael ei chyfleu i'r holl staff a rhanddeiliaid, gan gynnwys diweddarau gwefan y Cyngor.

Argymhelliad 2 (o'n hadroddiad cenedlaethol yn 2015) – Sicrhau bod polisi corfforaethol ar draws y DU ar ddiogelu sy'n cwmpasu holl wasanaethau'r cyngor i ddarparu cyfeiriad strategol clir a llinellau atebolrwydd clir ar draws y cyngor.

Argymhellion o'n hadroddiad cenedlaethol yn 2015, ein canfyddiadau o'r adolygiad dilynol hwn, a nodwyd camau gweithredu yn y dyfodol

Dod o hyd i'r adolygiad dilynol hwn – cafodd argymhelliad ei fodloni'n rhannol

- Mae angen i Bolisi Diogelu Corfforaethol y Cyngor, a gafodd ei ddiweddarau ym mis Mawrth 2023, fod yn gliriach ynghylch pa bwyllgor craffu sy'n gyfrifol am graffu ar effeithiolrwydd diogelu corfforaethol y Cyngor. Mae Polisi Diogelu Corfforaethol y Cyngor yn cynnwys gwybodaeth sy'n ymwneud â rolau a chyfrifoldebau diogelu corfforaethol, ond dylai'r Polisi egluro rôl craffu i helpu i sicrhau bod llinellau atebolrwydd yn glir.
- Yn ystod ein gwaith maes, nodwyd diffyg eglurder yn y wybodaeth a ddarparwyd i ni gan y Cyngor ynghylch enw a phwrpas grŵp mewnol y Cyngor sy'n gyfrifol am ddiogelu corfforaethol. Mae gan y Cyngor Grŵp Swyddogion Diogelu Corfforaethol, ond weithiau cyfeiriwyd at y grŵp hwn fel bwrdd mewn dogfennau. Gan fod Bwrdd Diogelu Rhanbarthol (sydd â chylch gwaith a phwrpas gwahanol) mae'n bwysig bod eglurder ynghylch sut y cyfeirir at y ddau endid ar wahân hyn, er mwyn osgoi dryswch.
- Mae angen i'r Grŵp Swyddogion Diogelu Corfforaethol sicrhau ei fod yn gweithredu yn unol â'i Gylch Gorchwyl, gan gynnwys pa mor aml y dylai fodloni, er mwyn cyflawni ei rôl yn effeithiol. Mae Cylch Gorchwyl y grŵp yn nodi y byddai'r grŵp 'yn cwrdd yn fisol yn y lle cyntaf i sefydlu rhaglen waith briodol - byddai amllder wedyn yn cael ei adolygu gyda chyfarfodydd o leiaf bob chwarter'. Mae Polisi Diogelu Corfforaethol y Cyngor yn nodi y bydd y Grŵp Swyddogion Diogelu Corfforaethol yn cwrdd bob mis, fodd bynnag, dim ond pedair gwaith y mae'r grŵp wedi'i gyfarfod ers mis Mawrth 2022.

Angen gweithredu yn y dyfodol - Dylai'r Cyngor ddiweddarau ei Bolisi Diogelu Corfforaethol i sicrhau bod y trefniadau llywodraethu a'r oruchwyliaeth ar gyfer diogelu corfforaethol wedi'u nodi'n glir, gan gynnwys nodi pa bwyllgor craffu fydd â goruchwyliaeth o drefniadau diogelu corfforaethol. Dylai'r Cyngor sicrhau bod enw'r Grŵp Swyddogion Diogelu Corfforaethol yn cael ei ddefnyddio'n gyson yn ei ddogfennaeth ar ddiogelu er mwyn sicrhau eglurder ac osgoi unrhyw ddrisych. Dylai'r Cyngor hefyd sicrhau ei hun bod y Grŵp Swyddogion Diogelu Corfforaethol yn cyflawni ei rôl yn effeithiol yn unol â'i Gylch Gorchwyl.

Argymhelliad 3 (o'n hadroddiad cenedlaethol yn 2015) – Cryfhau recriwtio staff a gwirfoddolwyr yn ddiogel drwy:

- sicrhau bod gwiriadau a chydymffurfiaeth y Gwasanaeth Datgelu a Gwahardd (DBS) â pholisïau recriwtio diogel yn cwmpasu'r holl wasanaethau sy'n dod i gysylltiad â phlant;
- creu system cydymffurfio gorfforaethol integredig i gofnodi a monitro lefelau cydymffurfio ar wiriadau'r DBS; ac
- ei gwneud yn ofynnol i arferion recriwtio diogel ymhlith partneriaid yn y trydydd sector ac i wirfoddolwyr sy'n darparu gwasanaethau a gomisiynwyd a/neu a ddefnyddir gan y Cyngor sy'n cael eu tanategu gan contract neu gytundeb lefel gwasanaeth.

Dod o hyd i'r adolygiad dilynol hwn – argymhelliad heb ei fodloni

- Yn ddiweddar, mae'r Cyngor wedi adolygu ei arferion Adnoddau Dynol mewn perthynas â diogelu a nodi meysydd lle mae angen cryfhau ei blis/practisau. Ystyriodd Tîm Rheoli Corfforaethol y Cyngor adroddiad ar hyn ym mis Awst 2023. Mae'r adroddiad yn gwneud 15 argymhelliad ar gyfer gwelliannau. Mae'r Cyngor wedi drafftio cyfres newydd o bolisiau Adnoddau Dynol a bydd y rhain yn mynd ymlaen at yr Aelodau i'w hystyried/mabwysiadu.
- Nid yw'r Cyngor yn gallu adrodd ar ei gyfradd gydymffurfio ar gyfer canran y deiliaid swyddi sydd angen gwiriad DBS sydd â'r gwiriadau perthnasol ar waith. Mae hyn oherwydd cyfyngiadau'r system AD bresennol. Dywedodd y Cyngor wrthym ei fod yn bwriadu gweithredu system AD newydd yn Hydref 2023 y dywedir wrthym y bydd yn mynd i'r afael â'r mater hwn. Ar hyn o bryd mae'r Cyngor yn defnyddio taenlenni i olrhain bod gan staff y Cyngor sy'n ddechreuwr newydd y gwiriadau Adnoddau Dynol angenrheidiol ar waith, ond mae'r olrhain hwn wedi nodi bod rhai enghreifftiau cyfyngedig o staff wedi dechrau yn eu swydd heb y gwiriadau statudol gofynnol. Fodd bynnag, nid yw taenlenni olrhain corfforaethol y Cyngor yn cynnwys gwirfoddolwyr.
- Mae system AD bresennol y Cyngor hefyd yn cynnwys staff y Cyngor yn unig, nid yw'n cynnwys cofnodion corfforaethol ar gyfer gwirfoddolwyr. Mae gan adrannau gwasanaeth gofnodion gwirfoddol. Nid oes unrhyw oruchwyliaeth gorfforaethol ynghylch a chydymffurfir â recriwtio gwirfoddolwyr yn ddiogel ar draws y Cyngor. Ar hyn o bryd nid oes unrhyw gynlluniau i'r system AD newydd gael ei defnyddio i fonitro cydymffurfiaeth â gwiriadau DBS ar gyfer gwirfoddolwyr, felly mae'r risg sy'n gysylltiedig â recriwtio gwirfoddolwyr yn ddiogel a diffyg goruchwyliaeth gorfforaethol yn y maes hwn yn parhau. Mae trefniadau presennol y Cyngor ar gyfer monitro cydymffurfiaeth â gwiriadau DBS ar gyfer gwirfoddolwyr yn gorfforaethol ac mae hyn yn peri risg y gallai gwirfoddolwyr sydd angen gwiriad DBS fod yn gweithredu heb y gwiriadau gofynnol sydd ar waith. Nid oedd ein hadolygiad yn cynnwys trefniadau goruchwylio'r Cyngor yn y maes hwn.
- Yn ystod pandemig Covid-19, oherwydd bod angen i'r Cyngor lenwi swyddi gwag staff ar frys ac oherwydd yr amser a gymerir i brosesu gwiriadau DBS, fel modd o liniaru, cyflwynodd y Cyngor broses ddiwygiedig lle cynhaliodd asesiadau risg rhai dechreuwr newydd i ddechrau yn y swydd cyn derbyn gwiriad DBS. Mae'r arfer hwn yn dal i barhau o fewn y Cyngor, ac nid oes dyddiad gorffen wedi'i bennu. Gofynnodd Cadeirydd y Grŵp Swyddogion Diogelu Corfforaethol i wasanaeth Archwilio Mewnol y Cyngor adolygu'r broses ddiwygiedig hon er mwyn cael sicrwydd ynghylch lefel cydymffurfio. Ym mis Mehefin 2023, cwblhaodd gwasanaeth Archwilio Mewnol y Cyngor ei adolygiad. Canfu'r adroddiad Archwilio Mewnol lefelau uchel o ddiffyg cydymffurfio â'r broses ddiwygiedig a rhoddodd sgôr sicrwydd isel ar gyfer dull presennol y Cyngor. Mae'r Cyngor wedi darparu ymateb rheoli i ganfyddiadau'r adroddiad Archwilio Mewnol.
- Nid oes gan y Cyngor oruchwyliaeth gorfforaethol ynghylch a yw gwasanaethau'n cydymffurfio ag arferion recriwtio diogel ar gyfer darparwyr trydydd sector, gwirfoddolwyr a/neu wasanaethau comisiwn a ddarperir o dan gytundeb lefel contract neu wasanaeth. Mae Polisi Diogelu Corfforaethol y Cyngor yn nodi, 'Bydd Comisiynwyr Gwasanaeth yn gyfrifol am sicrhau bod trefniadau cytundebol yn pennu cyfrifoldebau mewn perthynas â diogelu yn unol â'r Polisi hwn a'r polisi comisiynu presennol. Mae contractwyr, isgcontractwyr neu sefydliadau eraill a ariennir gan neu ar ran y Cyngor yn gyfrifol am drefnu gwiriadau drwy'r Gwasanaeth Datgelu a Gwahardd (lle bo angen) ac am sicrhau bod eu staff yn cydymffurfio â threfniadau rheoleiddiol a chytundebol sy'n ymwneud â diogelu plant ac oedolion'. Fodd bynnag, nid oes gan y Cyngor sicrwydd corfforaethol a goruchwylio a yw hyn yn wir, ac o ganlyniad nid yw'r Cyngor yn gallu sicrhau ei hun a'r cyhoedd ynghylch unrhyw risgiau posibl.

Mae angen gweithredu'n y dyfodol - Mae angen i'r Cyngor gryfhau ei drefniadau presennol ar gyfer monitro cydymffurfiaeth â gwiriadau DBS ar gyfer staff ac yn arbennig ar gyfer gwirfoddolwyr a rhoi trefniadau effeithiol ar waith ar gyfer goruchwylio corfforaethol yn y

Argymhellion o'n hadroddiad cenedlaethol yn 2015, ein canfyddiadau o'r adolygiad dilynol hwn, a nodwyd camau gweithredu yn y dyfodol

maes hwn i sicrhau bod arferion recriwtio diogel yn cael eu dilyn i amddiffyn defnyddwyr gwasanaeth. Dylai'r Cyngor adolygu ei broses ddiwygiedig o ddefnyddio asesiadau risg i ganiatáu i staff weithio cyn i'r gwiriadau DBS gofynnol gael eu derbyn (a gyflwynwyd mewn ymateb i heriau a gyflwynwyd yn ystod pandemig Covid-19), er mwyn sicrhau ei hun bod ganddo drefniadau recriwtio diogel ar waith, y cydymffurfir â hwy yn llawn, ac nad ydynt yn peryglu'r Cyngor a'i ddefnyddwyr gwasanaeth. Os bydd y Cyngor yn penderfynu parhau â'r broses hon, yna mae angen iddo sicrhau ei hun bod y risgiau y mae'n eu peri yn cael eu lliniaru'n effeithiol a bod swyddogion sy'n recriwtio swyddogion yn cydymffurfio'n llawn â hi er mwyn sicrhau recriwtio diogel. Dylai'r Cyngor sicrhau ei hun bod ganddo drefniadau ar waith i sicrhau y cedwir at ddarpariaethau cytundebol mewn perthynas â diogelu ac mae'r rhai a gomisiynir i wneud gwaith ar ran y Cyngor yn cyflawni eu cyfrifoldebau diogelu, a thrwy hynny leihau'r risg i'r Cyngor a'i drigolion.

Argymhelliad 4 (o'n hadroddiad cenedlaethol yn 2015) – Sicrhau bod yr holl staff, aelodau a phartneriaid perthnasol yn deall eu cyfrifoldebau diogelu drwy:

- sicrhau bod hyfforddiant diogelu yn orfodol ac ymestyn y ddarpariaeth i holl feysydd perthnasol gwasanaethau'r cyngor, ac yn cael ei gynnwys fel safon ar raglenni sefydlu;
- creu system gorfforaethol gyfan i nodi, olrhain a monitro cydymffurfiaeth wrth fynychu hyfforddiant diogelu ym mhob adran o'r cyngor, aelodau etholedig, ysgolion, llywodraethwyr a gwirfoddolwyr; ac
- ei gwneud yn ofynnol i staff perthnasol mewn sefydliadau partner sy'n cael eu comisiynu i weithio i'r Cyngor wrth ddarparu gwasanaethau i blant a phobl ifanc i ymgymryd â hyfforddiant diogelu.

Argymhellion o'n hadroddiad cenedlaethol yn 2015, ein canfyddiadau o'r adolygiad dilynol hwn, a nodwyd camau gweithredu yn y dyfodol

Dod o hyd i'r adolygiad dilynol hwn – argymhelliad heb ei fodloni

- Mae'r Cyngor wedi dweud wrthym ei fod yn cynnig hyfforddiant diogelu Lefel 1 i'r holl staff. Fodd bynnag, yn wahanol i lawer o gynghorau eraill, nid yw'n orfodol i'r holl staff, dim ond i'r rhai mewn gweithgarwch rheoledig. Dywedodd y Cyngor wrthym ei fod yn bwriadu gorfodi hyfforddiant diogelu i'r holl staff unwaith y bydd yn mabwysiadu ei system ddysgu AD newydd yn hydref 2023. Mae gorfodi hyfforddiant diogelu ar gyfer yr holl staff yn ffordd o helpu i sicrhau bod pawb yn deall eu cyfrifoldebau diogelu ac yn helpu i liniaru yn erbyn y risgiau i holl wasanaethau'r cyngor a thrigolion y sir.
- Ar hyn o bryd nid oes gan y Cyngor system gorfforaethol gyfan i nodi, olrhain a monitro cydymffurfiaeth staff, Aelodau Etholedig, llywodraethwyr neu wirfoddolwyr sy'n mynychu hyfforddiant diogelu. Roedd y Cyngor yn gallu llunio crynodeb o gydymffurfiaeth hyfforddi staff i ni fel rhan o'r adolygiad hwn, ond nid yw'r wybodaeth hon ar gael yn rhwydd nac yn cael ei hadrodd i'r Aelodau. Dylai system ddysgu AD newydd y Cyngor helpu i'w galluogi i nodi, olrhain a monitro cydymffurfiaeth ar hyfforddiant diogelu aelodau staff. Er bod disgwyl i'r system ddysgu AD newydd ddechrau yn hydref 2023, mae'r Cyngor wedi dweud wrthym y bydd yn cael ei gweithredu ar sail rhaglen dreigl felly bydd yn cymryd amser i ymgorffori ar draws y sefydliad. Ar hyn o bryd nid yw'n glir a fydd y system newydd yn cael ei defnyddio i fonitro cydymffurfiaeth â hyfforddiant diogelu a ddarperir i aelodau nad ydynt yn aelodau staff e.e. Aelodau Etholedig, llywodraethwyr ysgol a gwirfoddolwyr.
- Mae'r Cyngor wedi darparu enghreifftiau i ni o gontractau sy'n nodi'r gofyniad am hyfforddiant diogelu ar gyfer staff perthnasol mewn sefydliadau sy'n cael eu comisiynu i weithio i'r Cyngor. Mae hyn yn gadarnhaol gan ei fod yn fodd o helpu i sicrhau bod staff o'r fath yn deall eu cyfrifoldebau diogelu.

Mae angen gweithredu'n y dyfodol - Dylai'r Cyngor sicrhau bod goruchwyliaeth gorfforaethol effeithiol o ran cydymffurfio â hyfforddiant diogelu a ddarperir i'r holl staff, Aelodau Etholedig, llywodraethwyr ysgol a gwirfoddolwyr er mwyn sicrhau ei hun bod cyfrifoldebau diogelu yn cael eu deall.

Argymhelliad 5 (o'n hadroddiad cenedlaethol yn 2015) - Roedd yr argymhelliad hwn ar gyfer Llywodraeth Cymru.

Argymhellion o'n hadroddiad cenedlaethol yn 2015, ein canfyddiadau o'r adolygiad dilynol hwn, a nodwyd camau gweithredu yn y dyfodol

Argymhelliad 6 (o'n hadroddiad cenedlaethol yn 2015) – Gwella atebolrwydd am ddiogelu corfforaethol drwy adrodd yn rheolaidd am faterion diogelu a sicrwydd i bwyllgorau (au) craffu yn erbyn set gytbwys a ledled y cyngor o wybodaeth perfformiad sy'n cynnwys:

- meincnodi a chymariaethau ag eraill;
- casgliadau adolygiadau archwilio/arolygu mewnol ac allanol;
- data perfformiad sy'n seiliedig ar wasanaeth;
- data personél allweddol fel hyfforddiant diogelu, a gwiriadau recriwtio'r DBS; a
- pherfformiad contractwyr a gwasanaethau comisiwn ar gydymffurfio â chyfrifoldebau diogelu'r cyngor.

Argymhellion o'n hadroddiad cenedlaethol yn 2015, ein canfyddiadau o'r adolygiad dilynol hwn, a nodwyd camau gweithredu yn y dyfodol

Dod o hyd i'r adolygiad dilynol hwn – argymhelliad heb ei fodloni

- Nid yw'r Cyngor yn llunio adroddiad blynyddol ar ei drefniadau corfforaethol ar gyfer diogelu perfformiad a chynnydd yn unol â'i Bolisi Diogelu Corfforaethol. Mae Adroddiad Blynyddol Cyfarwyddwr Gwasanaethau Gofal Cymdeithasol sy'n ofyniad statudol i'r Cyfarwyddwr adrodd ar swyddogaeth Gwasanaethau Cymdeithasol y Cyngor. Adroddwyd yr adroddiad hwn ar gyfer 2021-22 i'r Pwyllgor Craffu Iechyd a Gwasanaethau Cymdeithasol, y Cabinet a'r Cyngor. Mae Cylch Gorchwyl y Grŵp Swyddogion Diogelu Corfforaethol, a'r Polisi Diogelu Corfforaethol, yn nodi y bydd y grŵp yn adrodd yn flynyddol ar weithgaredd fel adran yn adroddiad blynyddol Cyfarwyddwr Statudol y Gwasanaethau Cymdeithasol. Fodd bynnag, nid yw hyn yn digwydd gan nad yw'r adroddiad hwn yn cynnwys diogelu corfforaethol. Mae'r diffyg adrodd ar faterion diogelu corfforaethol yn wendid yng nghyfraniadau goruchwyllo'r Cyngor ac yn y ffordd y mae'r Cyngor yn gweithredu ei Bolisi Diogelu Corfforaethol yn ymarferol.
- Mae'r Cyngor wedi nodi camau a mesurau diogelu sydd wedi'u cynnwys ar System Rheoli Gwybodaeth Perfformiad (PIMS) y Cyngor. Mae'r gyfres hon o gamau gweithredu a deg mesur yn cael eu hadrodd i Grŵp Swyddogion Diogelu Corfforaethol y Cyngor, ond nid yw'n cael ei adrodd i'r Tîm Rheoli Corfforaethol, y Cabinet nac i bwyllgor craffu. O fesurau perfformiad diogelu'r Cyngor, mae saith yn ymwneud ag addysg a gwasanaethau cymdeithasol, ac mae tri yn ymdrin â meysydd corfforaethol eraill (er mai dim ond ar gyfer un o'r tri mesur arall hyn y mae data ar gael). Dyma'r rhain:
 - canran yr hyfforddiant e-ddysgu ar Drais yn erbyn Menywod, Cam-drin Domestig, Trais Rhywiol (VAWDASV) a gwblhawyd gan staff (canlyniad 2022-23 - 69%)
 - canran y deiliaid swyddi sydd angen DBS sydd â'r gwiriadau perthnasol ar waith (canlyniad 2022-23 - nid yw data ar gael)
 - Dechreuodd canran y dechreuwyr cyn cwblhau gwiriadau cyflogaeth llawn (canlyniad 2022-23 - nid yw data ar gael).
- Mae'r un mesur ar ganran yr hyfforddiant e-ddysgu ar VAWDASV a gwblhawyd gan staff wedi'i gynnwys fel rhan o drefniadau adrodd y Cyngor ar gynnydd ei Strategaeth Gorfforaethol.
- Mae Pwyllgor Llywodraethu ac Archwilio'r Cyngor wedi goruchwyllo rhaglen Archwilio Fewnol y Cyngor. Mae adroddiadau archwilio mewnol sydd â sgôr 3 seren (sicrwydd isel) yn cael eu hadrodd i'r Pwyllgor Llywodraethu ac Archwilio. Adroddwyd adroddiad Archwilio Mewnol Mehefin 2023 ar ddiogelu i'r Pwyllgor Llywodraethu ac Archwilio ym mis Medi 2023.

Angen gweithredu yn y dyfodol - Dylai'r Cyngor gryfhau ei adroddiadau ar effeithiolrwydd ei drefniadau corfforaethol ar gyfer diogelu i'r Tîm Rheoli Corfforaethol ac Aelodau Etholedig, gan gynnwys darparu gwybodaeth am berfformiad. Bydd hyn yn helpu i gryfhau trefniadau goruchwyliaeth a sicrwydd y Cyngor ar gyfer diogelu corfforaethol a sicrhau ei fod yn cymhwyso ei Bolisi Diogelu Corfforaethol yn ymarferol.

Argymhellion o'n hadroddiad cenedlaethol yn 2015, ein canfyddiadau o'r adolygiad dilynol hwn, a nodwyd camau gweithredu yn y dyfodol

Argymhelliad 7 (o'n hadroddiad cenedlaethol yn 2015) – Sefydlu rhaglen dreigl o adolygiadau archwilio mewnol i gynnal profion systemau ac adolygiadau cydymffurfio ar arferion diogelu'r cyngor.

Dod o hyd i'r adolygiad dilynol hwn – cyfarfod argymhelliad

- Mae cynllun Archwilio Mewnol y Cyngor bob blwyddyn yn cynnwys adolygiad diogelu. Mae'r Grŵp Swyddogion Diogelu Corfforaethol yn gwneud awgrymiadau ar gyfer meysydd posibl y gallai'r gwasanaeth Archwilio Mewnol fod am eu hystyried gan gynnwys yn ei gynllun archwilio. Mae'r Gwasanaeth Archwilio Mewnol wedi cynnal nifer o adolygiadau sy'n ymwneud ag arferion diogelu'r Cyngor dros y blynyddoedd diwethaf, gan gynnwys: proses atgyfeirio diogelu oedolion, proses drws ffrynt oedolion, proses diogelu plant, prosesau diogelu ar gyfer gyrwyr trafniadaeth/cynorthwyyr teithwyr, proses ar gyfer cofnodi honiadau o gam-drin yn erbyn gweithiwr, a'r un mwy diweddar ym mis Mehefin 2023 ar asesiadau risg/gwiriadau DBS ar gyfer staff newydd.

Angen gweithredu yn y dyfodol - Gallai'r Cyngor ystyried sut y gall Archwilio Mewnol gefnogi'r Cyngor ymhellach i gael sicrwydd ar ei drefniadau ar gyfer diogelu corfforaethol.

Argymhelliad 8 (o'n hadroddiad cenedlaethol yn 2015) - Sicrhau bod y risgiau sy'n gysylltiedig â diogelu yn cael eu hystyried ar lefel gorfforaethol a gwasanaeth wrth ddatblygu a chytuno ar gynlluniau rheoli risg ar draws y Cyngor.

Argymhellion o'n hadroddiad cenedlaethol yn 2015, ein canfyddiadau o'r adolygiad dilynol hwn, a nodwyd camau gweithredu yn y dyfodol

Dod o hyd i'r adolygiad dilynol hwn – cyfarfod argymhelliad

- Nid oes gan y Cyngor risg diogelu corfforaethol penodol mwyach ar ei gofrestr risg gorfforaethol. Rydym yn deall gan y Cyngor ei fod yn arfer bod â chofrestr risg diogelu ar wahân. Roedd y risgiau blaenorol hynny'n cynnwys rhai a oedd yn uniongyrchol gysylltiedig â threfniadau diogelu corfforaethol, er enghraifft methiant i gynnal fframwaith cadarn ar gyfer trefniadau llywodraethu ar gyfer diogelu. Penderfynodd y Cyngor uno'r gofrestr risg diogelu ar wahân hon yng nghofrestr risg gorfforaethol y Cyngor. Wrth wneud hyn, nid oes gan y Cyngor risg diogelu corfforaethol penodol mwyach ar ei gofrestr risg gorfforaethol. Mae dau risg diogelu penodol ar gofrestr risg gorfforaethol y Cyngor sy'n ymwneud â phlant ac oedolion agored i niwed, a risg gorfforaethol gyffredinol sy'n ymwneud yn ehangach â rheoli pobl, fel a ganlyn:
 - Darparu Trefniadau Diogelu Effeithiol – Plant (CRR190009 - graddiad risg uchel). Perchennog rheoli'r risg hon yw Pennaeth Gwasanaethau Plant. Yn nheithl y risg hon, mae'n nodi bod y manylion yn cael eu darparu mewn Cofrestr Risg Diogelu ar wahân ond dywedwyd wrthym nad oes cofrestr risg ar wahân yn bodoli. Mae angen newid hyn i adlewyrchu'r sefyllfa wedi'i diweddarau.
 - Darparu Trefniadau Diogelu Effeithiol - Oedolion sy'n Agored i Niwed (CRR190020 - Cyfrwng Sgorio Risg). Perchennog rheoli'r risg hon yw'r Cyfarwyddwr Cymunedau.
 - Mae yna risg gysylltiedig gorfforaethol hefyd – 'Sicrhau rheolaeth effeithiol ar bobl' (CRR19006)'. Perchennog rheoli'r risg hon yw'r Prif Weithredwr Cynorthwyol. Fel rhan o adroddiad diweddarau risg y Cyngor ym mis Awst 2023 i CMT mae'n nodi, 'Rydym wedi cynnal adolygiad cyflawn o'n polisïau a'n gweithdrefnau Diogelu Cyflogaeth ac wedi datblygu cynllun gweithredu i fynd i'r afael â meysydd y mae angen eu gwella. Bellach mae gennym bolisi a gweithdrefn newydd wedi'i diweddarau sydd yn y broses o gael eu cymeradwyo.'
- Yn seiliedig ar ganfyddiadau'r adolygiad hwn, dylai'r Cyngor ystyried a oes budd-dal/angen adfer risg diogelu penodol sy'n cwmpasu trefniadau diogelu corfforaethol ar ei gofrestr risg gorfforaethol.
- Mae risgiau diogelu ar y cofrestrau risg adrannol ar gyfer Gofal Cymdeithasol Oedolion a Gwasanaethau Plant. Mae risg hefyd ar y gofrestr risg adran Rheoli Pobl a Pherfformiad o'r enw 'methiant i gydymffurfio â materion cyflogaeth'. Mae'r rheolaethau ar gyfer y risg hon yn cynnwys cael arweiniad recriwtio diogel a monitro cydymffurfiaeth ag ef. Ni nodwyd risgiau diogelu ar unrhyw gofrestrau risg adrannol eraill o unrhyw wasanaeth arall gan y Cyngor. Dylai'r Cyngor sicrhau ei hun bod pob adran a gwasanaeth yn ystyried risgiau diogelu yn llawn ac, os yw'n briodol, yn cynnwys y risgiau hynny ar gofrestrau risg adrannol.

Angen gweithredu yn y dyfodol - Dylai'r Cyngor ystyried a ddylid adfer risg diogelu corfforaethol penodol ar ei gofrestr risg gorfforaethol i gryfhau goruchwyliaeth gorfforaethol. Dylai'r Cyngor hefyd sicrhau ei hun bod pob adran yn ystyried risgiau diogelu yn llawn ac, os yw'n briodol, yn cynnwys y risgiau hynny ar gofrestrau risg adrannol. Yna gellir rheoli a lliniaru risgiau o'r fath.



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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.

Organisational response form

Report title: Follow-up review of Corporate Arrangements for Safeguarding – Carmarthenshire County Council

Date: October 2023

Document reference: 3788A2023

Ref	Recommendation	Organisational response Please set out here relevant commentary on the planned actions in response to the recommendations	Completion date Please set out by when the planned actions will be complete	Responsible officer (title)
R1	<p>R1 Roles, responsibilities and governance arrangements</p> <p>a) The Council should clarify who will be the Lead Member for corporate safeguarding and ensure the following:</p> <ul style="list-style-type: none"> - that the Council constitution sets out clearly who the Lead Member for corporate safeguarding is and that it is consistent with the Council's Corporate Safeguarding Policy; - that corporate safeguarding is reflected in the relevant Cabinet Member and related scrutiny committee portfolio responsibilities; - that information about the Lead Member role for corporate safeguarding is communicated to all staff and stakeholders, including updating the Council website. 	<p>Clarification provided- Lead member for corporate safeguarding confirmed as Cabinet Member for Health and Social Services – Cllr Jayne Tremlett.</p> <p>Corporate Safeguarding Policy to be refreshed to ensure Lead Member for Corporate Safeguarding role and responsibilities are explicit.</p> <p>Health and Social Services Cabinet Member and Scrutiny Committee Portfolios to be refreshed to ensure Corporate Safeguarding responsibilities are explicit.</p> <p>Communication plan to be developed to ensure refreshed Corporate Safeguarding Policy (including Lead Member role) is communicated to all staff and stakeholders. Website to be refreshed (work already commenced)</p>	<p>Completed</p> <p>Completed</p> <p>Completed</p> <p>Partially Completed. Target Date - End of January 2024</p>	<p>Director of Communities (Statutory Director)</p> <p>“</p> <p>“</p> <p>“</p>

	<p>This will help to clarify responsibilities and facilitate accountability.</p> <p>b) The Council should update its Corporate Safeguarding Policy to ensure that the governance arrangements and oversight for corporate safeguarding are clearly set out, including identifying which scrutiny committee will have oversight of corporate safeguarding arrangements.</p> <p>c) The Council should ensure that the name of the Corporate Safeguarding Officers Group is used consistently in its documentation on safeguarding to ensure clarity and avoid any confusion.</p> <p>d) The Council should assure itself that the Corporate Safeguarding Officers Group is discharging its role effectively and in accordance with its Terms of Reference.</p>	<p>Corporate Safeguarding Policy to be refreshed and to include updated governance structure (including Health and Social Services Scrutiny Committee responsibilities).</p> <p>Corporate Safeguarding Officers Group membership to be refreshed and re-named Corporate Safeguarding Group. This will be consistently used on all safeguarding documentation and communications.</p> <p>Corporate Safeguarding Group assurance framework to be developed.</p> <p>Annual report submitted to Corporate Management Team and Health and Social Services Scrutiny Committee</p>	<p>Completed</p> <p>Completed and ongoing</p> <p>Feb 2024</p> <p>May 2024</p>	<p>“</p> <p>“</p> <p>“</p> <p>“</p>
<p>R2</p> <p>Tudalen 71</p>	<p>R2 Safe recruitment of staff and volunteers</p> <p>a) The Council needs to strengthen its current arrangements for monitoring compliance with DBS</p>	<p>Action to review, refresh and approve:</p> <ul style="list-style-type: none"> - DBS Guidance document - Safer Recruitment Policy 	<p>Completed</p>	<p>Assistant Chief Executive</p>

	<p>checks for staff and particularly for volunteers and put in place effective corporate oversight arrangements to ensure that safe recruitment practices are being followed to protect service users.</p> <p>b) The Council should review its revised process of using risk assessments to allow staff to work prior to the required DBS checks being received (that it introduced in response to challenges presented during the Covid-19 pandemic), to assure itself that it has safe recruitment arrangements in place, that are fully complied with, and which do not expose the Council and its service users to risk.</p> <p>c) The Council should assure itself that it has arrangements in place to ensure that contractual provisions in relation to safeguarding are adhered to and those commissioned to do work on behalf of the Council are fulfilling their safeguarding responsibilities, thereby minimising the risk to the Council and its residents.</p>	<p>- Ex offenders' Policy</p> <p>- Volunteering Policy</p> <p>CSG to review use of risk assessments- DBS Policy to clearly set out considerations for working prior to DBS check- amendments agreed and DBS policy updated and approved.</p> <p>Review DBS policy to ensure explicit reference to contractors safeguarding responsibilities.</p> <p>Review/ update contracting policy to ensure Safeguarding responsibilities are explicit in all contracts.</p> <p>Establish a framework for monitoring compliance- eg spot check on contactors on site</p>	<p>End of Jan 2024</p> <p>Completed</p> <p>Completed</p> <p>January 2024</p> <p>January 2024</p>	<p>“</p> <p>“</p> <p>“</p> <p>“</p> <p>“</p>
R3	<p>R3 Safeguarding training</p> <p>The Council should ensure that there is effective corporate oversight of compliance with safeguarding training provided to all staff, Elected Members, school</p>	<p>Establish a framework for gathering safeguarding training data including compliance with National Safeguarding</p>	<p>March 2024</p>	<p>Assistant Chief Executive</p>

	governors and volunteers to assure itself that safeguarding responsibilities are understood.	Training Framework and evaluate effectiveness.		
R4	<p>R4 Reporting on corporate safeguarding</p> <p>The Council should strengthen its reporting on the effectiveness of its corporate arrangements for safeguarding to Corporate Management Team and Elected Members, including the provision of performance information. This will help to strengthen the Council's oversight and assurance arrangements for corporate safeguarding and ensure it applies its Corporate Safeguarding Policy in practice.</p>	Refresh corporate safeguarding performance measures to ensure they are relevant and provide appropriate assurances to CMT /Scrutiny Committee.	Partially completed. Target date end of Jan 2024	Director of Communities (Statutory Director)
R5	<p>R5 Risk management</p> <p>a) The Council should consider whether a specific corporate safeguarding risk should be reinstated on its corporate risk register to strengthen corporate oversight.</p> <p>b) The Council should assure itself that all departments are fully considering safeguarding risks and, if appropriate, include those risks in the departmental risk registers. Such risks can then be managed and mitigated.</p>	<p>Re introduce corporate safeguarding Risk register</p> <p>Refresh framework for identifying safeguarding risks for inclusion on risk register.</p> <p>Refresh process for mitigating or escalating corporate safeguarding Risks. CSG to consider introduction of annual departmental safeguarding Audits</p>	<p>January 2024</p> <p>January 2024</p> <p>Partially completed</p>	<p>Director of Corporate Services</p> <p>“</p> <p>“</p>

Mae'r dudalen hon yn wag yn fwiadol

PWYLLGOR LLYWODRAETHU AC ARCHWILIO 8 MAWRTH 2024

Y DIWEDDARAF YNGHYLCH AR CYNLLUN ARCHWILIO MEWNOL 2023/24

Yr Argymhellion / Penderfyniadau Allweddol Sydd Eu Hangen:

I dderbyn yr adroddiad.

Y Rhesymau:

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

Ymgynghorwyd â'r pwyllgor craffu perthnasol: NADDO

Angen i'r Cabinet wneud penderfyniad: NAC OES

Angen i'r Cyngor wneud penderfyniad: NAC OES

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

Cyng. A Lenny

Y Gyfarwyddiaeth:

Gwasanathau Corfforaethol

Enw Pennaeth y

Gwasanaeth:

Helen Pugh

Awdur yr Adroddiad:

Caroline Powell

Swyddi:

Pennaeth Refeniw a
Chydymffurfio Ariannol

Prif Archwilydd

Rhif ffôn: 01267 246223

Cyfeiriad e-bost:

HLPugh@sirgar.gov.uk

CaPowell@sirgar.gov.uk

GOVERNANCE & AUDIT COMMITTEE

8 MARCH 2024

INTERNAL AUDIT PLAN UPDATE 2023/24

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 2023/24 Progress Report

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

Assignment	Final Report Issued	Assurance Rating
Deputyships (Corporate Services)	27 December 2023	High
Treasury Management	27 February 2024	Acceptable

DETAILED REPORT ATTACHED?

YES

IMPLICATIONS

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

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

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

Finance

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

CONSULTATIONS

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

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

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

CABINET PORTFOLIO HOLDER(S)
AWARE/CONSULTED: Yes

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

Title of Document	File Ref No.	Locations that the papers are available for public inspection
Internal Audit Plan 2023/24	G&AC 17-03-23	Agenda for Governance & Audit Committee on Friday, 17th March, 2023, 10.00 am

Mae'r dudalen hon yn wag yn fwriadol

INTERNAL AUDIT PLAN 2023/24 - as at 29 February 2024

2023/24 % Plan Completion to Date: 76%

Job No	Departments	Days Planned	Pre- Audit Meeting	Terms of Reference Issued	Commented	Field Work Complete	Draft Report Issued	Complete / Final Report Issued	Actual Days	Assurance Rating / Engagement Type
Fundamental Audits										
1123001	Budget Setting & Monitoring	15	*	*	*					
1123002	Council Tax	20	*	*	*	*				
1123003	Creditor Payments	30	*	*	*					
1123004	Deputyships	20	*	*	*	*	*	*	16	High
1123005	Main Accounting	20	*	*	*	*	*	*	20	High
1123006	Payroll System	30	*	*	*					
1123007	Petty Cash / Sundry Expenses	15	*	*	*	*	*			
1123008	Treasury Management - Loans & Investments	15	*	*	*	*	*	*	15	Acceptable
Corporate Review Work										
2123001	CCC Companies Governance	20	*							
2123002	Contract Management	20	*	*	*	*				
2123003	Procurement	20	*	*	*	*				
2123004	Safeguarding	20	*							
2123005	Staffing Matters	20	*	*	*					
Corporate Governance Assurance										
3123001	Corporate Governance Arrangements	20	*	*	*	*				
3123002	Data Protection	20	*	*	*	*	*	*	19	Acceptable
3123003	Declaration of Interests	20	*	*	*					
3123004	Corporate Strategy / Policy Making	20	*	*	*					
3123005	Wellbeing of Future Generations Act	20	*	*	*					
Duplication Checks										
4123001	Payments Duplication Checks	40	/	/	*					
Counter Fraud										
5123001	Fraud Prevention, Detection and Investigation	40	/	/	*					
5123002	Proactive Fraud Testing	20	/	/	*					
5123003	National Fraud Initiative	20	/	/	*	*	/	/	32	Fraud Detection
Grants & Certification										
6123001	Burry Port Harbour	10	*	*	*	*	*	*	6	Certification
6123002	Children & Communities Grant	25	*	/	*	*	*	*	14	Certification
6123003	Education Improvement Grant	30	*	/	*	*	*	*	23	Certification
6123004	Enable Grant	10	*	/	*	*	*	*	8	Certification
6123005	Housing Support Grant	40	*	/	*	*	*	*	28	Certification
6123006	Local Authority Education Grant	20	*	/	*	*	*	*	21	Certification
6123007	Other Grants (where assurance is required for sign-off)	15	*	/	*	*	*	*	20	Certification
6123008	Wales Pension Partnership	5	*	/	*	*	*	*	4	Certification
6123009	Post 16 Grant	10	*	/	*	*	*	*	9	Certification
6123010	Pupil Development Grant	30	*	/	*	*	*	*	23	Certification
6123011	Youth Justice Grant 2022-23	15	*	/	*	*	*	*	10	Certification

6123012	Trust Funds - Arbour Stephens	5	*	*	*	*	*	*	4	Certification
6123013	Trust Funds - Dyfed Welsh Church Fund	5	*	*	*	*	*	*	5	Certification
6123014	Trust Funds - Minnie Morgan	5	*	*	*	*	*	*	3	Certification
6123015	Trust Funds - Oriel Myrddin	5	*	*	*	*	*	*	4	Certification
6123016	Regional Development Coordinator	5	*	/	*	*	*	*	5	Certification
	Chief Executive's Department (not incl IT)									
7123001	Levelling Up Fund: Debenhams HWBS and Tywi Cycle Path	20	*	*	*					
7123002	Communications: Social Media	10								
7123003	Carmarthen Mart	10	*	*	*	*				
7123004	Legal Charges	15	*	*	*					
	Chief Executive's Department: IT									
7223001	IT Systems	20	*	*	*	*				
7223002	IT Disaster Recovery	15	*	*	*					
7223003	Active Directory	15	*	*	*	*	*	*	15	Acceptable
7223004	Cloud	10	*	*	*	*	*	*	14	Acceptable
	Communities									
7323001	Pembrey Country Park	20	*	*	*	*	*	*	22	Acceptable
7323002	Caban Hotel Pendine	10	*	*	*	*	*	*	9	High
7323003	Leisure Centres	20	*	*	*	*	*	*	21	Low
7323004	Voids - Follow up	10	*	*	*	*	*	*	14	Acceptable
7323005	Support for Unpaid Carers	15	*	*	*					
7323006	Care Homes	20	*	*	*	*	*	*	19	Acceptable
7323007	Museum of Land Speed Pendine	10	*	*	*	*	*	*	9	Acceptable
	Corporate Services									
7423001	Community Benefits	15	*	*	*	*	*	*	20	Acceptable
7423002	Dyfed Pension Fund - Governance & Investments	15	*	*	*	*				
	Education & Children									
7523001	Children's Services: Carers, including Young Carers	15	*							
7523002	School Meals Allergens - Follow Up	10	*	*	*	*				
7523003	Schools Questionnaires	20	/	/	*	*	*	*	21	Assurance
7523004	School Visits 1	10	*	/	*	*	*	*	7	Acceptable
7523005	School Visits 2	10								
7523006	Parent Pay	15	*	*	*					
7523007	Pupil Referral Units	15	/	/	/	/	/	/	/	Request for deferral
	Place and Infrastructure									
7623001	Car Parking	15	*	*	*	*	*			
7623002	Place & Sustainability	15	*	*	*	*	*	*	17	High
7623003	Council Buildings (School & Non-School)	20	*	*	*					
7623004	Highways	15	*	*	*	*	*			
7623005	Waste	15	*	*	*					
7623006	Property	15	*	*	*					

DEPARTMENT Corporate Services	AUDIT REVIEW Deputyships (2023/24)	FINAL REPORT ISSUED 27 December 2023
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BACKGROUND

A Deputy is appointed by the Court of Protection to manage the property and affairs of another person, who lacks the mental capacity to manage them themselves. A Deputy can only act under a court order from the Court of Protection.

Upon completion of a Deputyship appointment, the client’s finances are managed by the Corporate Services Department with the Director of Corporate Services as the Deputy. As Deputy, the Director of Corporate Services has numerous responsibilities including a duty to look after the client’s assets, open a receivership account, claim all benefits due to the client and make sure that all income is collected, and all bills are paid on time.

SCOPE

The purpose of the Audit was to assess the extent to which there are adequate procedures and controls in place within the Corporate Services Department to appropriately fulfil the Deputyship responsibility, ensuring the Office of Public Guardian’s ‘Deputyship Standards’ are adhered to.

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
Number of Recommendations	0	0	1	1

ASSURANCE RATING

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

Internal Audit review – Deputyships (2023/24)

Action Plan

Ref	Summary of Issue Identified	Recommendation	Priority Level	Planned Action · Responsible Officer(s) Target Date	Updated Position
1	<p>Document Storage</p> <p>Client files are currently stored in an open cupboard within the Corporate Services office; whilst entry to both the building and corridor is by key card only, given the sensitive nature of information contained within the files, it would be prudent to maintain the files in a locked receptacle, accessible only to authorised officers.</p>	<p>Client files should be maintained in a locked receptacle, accessible only to authorised officers, to maintain confidentiality. Files should also be stored securely to limit the risk of damage to key documents (e.g., fire-safe receptacle).</p>	*	<p>Available lockable cabinets have been identified within the offices of Parc Dewi Sant. As furniture is moved down to County Hall from this site as teams relocate, the Deputyship team within the corporate accountancy section will substitute the current cupboards for the more secure lockable cabinets.</p> <p>▪</p> <p>Gareth Davies Finance Manager - Corporate</p> <p>29 February 2024</p>	<p>The lockable storage units have been identified for use and are due to be available imminently.</p> <p>In the meantime, Deputyship files and documents continue to be maintained in a secure office.</p>

DEPARTMENT	AUDIT REVIEW	FINAL REPORT ISSUED
Corporate Services	Treasury Management (2023/24)	27 February 2024

BACKGROUND

Carmarthenshire County Council defines its treasury management activities as the management of the Authority’s borrowing, investments and cash flows, its banking, money market and capital market transactions, and the effective control of the risks associated with those activities, including the pursuit of optimum performance consistent with those risks.

The treasury management loans, and investment roles are managed by employees within the Treasury & Pensions Investment Division of the Corporate Services Department.

SCOPE

The purpose of the audit was to assess the extent to which there are adequate controls and procedures in place to provide effective control over loans and investments; in particular:

- Adequate procedures exist for the administration of treasury management;
- Loans and borrowing comply with the Treasury Management Policy;
- Adequate authorisation controls and contingency arrangements exist;
- Interest calculations are accurate and appropriately recorded;
- Adequate fidelity cover is provided for officers involved in loans management and accounting;
- Appropriate treasury management information is made available to relevant officers/management.

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
Number of Recommendations	0	3	0	3

ASSURANCE RATING

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

Internal Audit review – Treasury Management (2023/24)

Action Plan

Ref	Summary of Issue Identified	Recommendation	Priority Level	Planned Action Responsible Officer(s) Target Date	Updated Position
1	<p>Supporting Documentation</p> <p>Testing identified that a record of the rationale, to support the decisions to make investments, and take out long-term loans, had not been maintained, as required by the Treasury Management Procedural Manual.</p>	<p>A record of the rationale to support decisions to make investments, and take out long-term loans should be maintained by the Treasury Management Section, as required by the Treasury Management Procedural Manual, to include the retention of all information that supports the decision-making process.</p>	**	<p>Agreed. We will implement immediately.</p> <ul style="list-style-type: none"> Anthony Parnell - Treasury and Pensions Investment Manager <p>1 February 2024</p>	<p>Action implemented. A record of the rationale to support decisions will be maintained in all instances moving forward.</p>
2	<p>Reconciliations</p> <p>A review of a sample of fifteen monthly reconciliations identified that twelve reconciliations had not been undertaken and reviewed promptly.</p> <p>In addition, testing identified that reconciliations were signed as completed and reviewed using photos of signatures. Evidence was not available to demonstrate that the documents had been seen and signed by the actual officers.</p>	<p>All reconciliations should be completed and reviewed promptly.</p> <p>All documentation requiring proof that the signer has approved the document should be supported by evidence to demonstrate that the actual authorising officer has seen, and approved the document in question</p>	**	<p>Agreed. We will implement immediately.</p> <ul style="list-style-type: none"> Anthony Parnell - Treasury and Pensions Investment Manager <p>1 February 2024</p>	<p>Action implemented. All reconciliations will be completed and reviewed promptly moving forward. Documentation is now being maintained to evidence the appropriate approval when wet signatures are not used.</p>
3	<p>Fidelity Insurance</p> <p>Fidelity Insurance cover is in place, however the cover is not consistent with the current level of investment and borrowing, nor is the level of cover</p>	<p>A review of the current insurance cover should be undertaken to ensure the Authority has appropriate fidelity cover, which is consistent with the</p>	**	<p>Agreed. We will work with the Insurance team to review the appropriate fidelity cover, and implement accordingly.</p>	<p>In progress – target date not yet reached.</p>

Tudalen 84

Internal Audit Update: Report B

Ref	Summary of Issue Identified	Recommendation	Priority Level	Planned Action · Responsible Officer(s) Target Date	Updated Position
	consistent with details specified in the Treasury Management Manual.	staff within the current structure of the Treasury Management Section, and their level of trading. In addition, the level of cover should be consistent with the details specified in the Treasury Management Manual.		<ul style="list-style-type: none"> ▪ Anthony Parnell - Treasury and Pensions Investment Manager 31 March 2024	

Mae'r dudalen hon yn wag yn fwiadol

PWYLLGOR LLYWODRAETHU AC ARCHWILIO 8 MAWRTH 2024

ARGYMHELLION ARCHWILIAD MEWNOL

Yr Argymhellion / Penderfyniadau Allweddol Sydd Eu Hangen:

I dderbyn yr adroddiad.

Y Rhesymau:

Cyflwynir adroddiad cynnydd yn rheolaidd i'r Pwyllgor Archwilio yn flynyddol.

Ymgynghorwyd â'r pwyllgor craffu perthnasol: NADDO

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

Y Gyfarwyddiaeth:

Gwasanathau Corfforaethol

Enw Pennaeth y**Gwasanaeth:**

Helen Pugh

Awdur yr Adroddiad:

Caroline Powell

Swyddi:

Pennaeth Refeniw a
Chydymffurfio Ariannol

Prif Archwilydd

Rhif ffôn: 01267 246223

Cyfeiriad e-bost:

HLPugh@sirgar.gov.uk

CaPowell@sirgar.gov.uk

EXECUTIVE SUMMARY

INTERNAL AUDIT RECOMMENDATIONS

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 2022/23 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
NONE	NONE	YES	NONE	NONE	NONE	NONE

Finance

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

CONSULTATIONS

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

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

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

CABINET PORTFOLIO HOLDER(S)
AWARE/CONSULTED: Yes

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

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

Mae'r dudalen hon yn wag yn fwriadol

Update on Internal Audit Recommendations 2022/23

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 2022/23 financial year.

Recommendation Ratings	Total Recommendations Made	Action Complete	Action Outstanding / Off-Target	Target date not yet reached	% Complete per Recommendation Rating
3*	3	2	0	1	67%
2*	77	62	2	13	81%
1*	33	28	1	4	85%
	113	92	3	18	
		81%	3%	16%	

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

ACTION OUTSTANDING / OFF TARGET

Report Reference: 1122008 VAT
Action Status: Off Target – with revised Target Date set
Action Target Date: 31.12.2023 (Revised Target Date: 15.03.2024)
Recommendation Rating: **

Brief Description of Issue/Recommendation:

A guidance document to provide basic VAT advice has not been drafted or distributed to Authority staff members.

Agreed Action:

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.

Current Position:

Good progress is being made with production of the VAT guidance document, however, unfortunately we have not achieved the 31 December 2023 target. Revised target date for completion of the document is 15 March 2024.

Report Reference: 2122006 Risk Management Arrangements
Action Status: Off Target
Action Target Date: 31.12.2023
Recommendation Rating: **

Brief Description of Issue/Recommendation:

The Risk Management Strategy in being covers the period 2017-2022.
The Risk Management Strategy should be reviewed, updated, approved, and published as a priority.

Agreed Action:

The Risk Management section is in the process of reviewing and updating the Risk Management Strategy.

Current Position:

A consultation review of Risk Management arrangements has taken place during 2023 with an external Consultant; the results of that review have recently been received, with recommended enhancements to be actioned. The review of the Risk Management Strategy was delayed to enable us to fully consider the results of the external consultation review, and ensure all relevant aspects raised within that review would be covered within the revised Strategy. Revised Strategy to be complete by 30 September 2024.

Report Reference: 2122006 Risk Management Arrangements

Action Status: Off Target

Action Target Date: 31.12.2023

Recommendation Rating: *

Brief Description of Issue/Recommendation:

It was recommended in the previous audit that: 'A complete audit trail of the initial risk being identified, either from the Department or CMT, through to the authorisation provided to the Principal Risk Officer to update the Register should be available for all risks either added to, or removed from, the Corporate Risk Register'.

The Principal Risk Officer has advised that a new process was implemented in December 2021, however this process hasn't been documented.

The new process, to provide a complete audit trail of risks, implemented in December 2021, should be documented.

Agreed Action:

The Transformation team will assist the Risk Management section to review and update the process and document.

Current Position:

Whilst the process has been developed, agreed and adopted, it has not yet been formally documented.

The process will be formally documented by 31 March 2024.

Mae'r dudalen hon yn wag yn fwiadol

PWYLLGOR LLYWODRAETHU AC ARCHWILIO 8 MAWRTH 2024

CYNLLUN ARCHWILIAD MEWNOL BLYNYDDOL 2024/25 & BWRIEDIR EI GYNNWYS YN 2024-27

Yr Argymhellion / Penderfyniadau Allweddol Sydd Eu Hangen:

I gymeradwyo'r Cynllun Archwiliad Mewnol Blynyddol ar gyfer 2024/25 ac i gadarnhau'r hyn y bwriedir ei gynnwys yn 2024-27.

Y Rhesymau:

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

Ymgynghorwyd â'r pwyllgor craffu perthnasol: NADDO

Angen i'r Cabinet wneud penderfyniad: NAC OES

Angen i'r Cyngor wneud penderfyniad: NAC OES

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

Cyng. Alun Lenny

Y Gyfarwyddiaeth:

Gwasanathau Corfforaethol

**Enw Pennaeth y
Gwasanaeth:**

Helen Pugh

Awdur yr Adroddiad:

Helen Pugh

Swyddi:

Pennaeth Refeniw a
Chydymffurfio Ariannol

Rhif ffôn: 01267 246223

Cyfeiriad e-bost:
HLPugh@sirgar.gov.uk

EXECUTIVE SUMMARY

INTERNAL AUDIT PLAN 2024/25 & PLANNED COVERAGE FOR 2024-27

BRIEF SUMMARY OF PURPOSE OF REPORT.

The Internal Audit Plan for 2024/25 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, the Governance & Audit Committee has requested the inclusion of specific reviews, along with Internal Audit identifying areas where a review is deemed appropriate.

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 following reports are attached:

Internal Audit Plan 2024/25

Internal Audit Planned Coverage 2024-2027

DETAILED REPORT ATTACHED?

YES

IMPLICATIONS

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

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

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

Finance

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

Risk Management

The Internal Audit Plan for 2024/25 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 2023-2026	AC 17-03-23	Agenda for Governance & Audit Committee on Friday, 17th March, 2023, 10.00 am

Mae'r dudalen hon yn wag yn fwriadol

Carmarthenshire County Council - Internal Audit Plan 2024/25

Required Assurance - Fundamental Audits	Type of Engagement	Risk Consideration	Audit Plan Days
Creditor Payments	Assurance	Fundamental	30
Debtors	Assurance	Fundamental	20
Deputyships - Communities	Assurance	Fundamental	20
Expenditure	Assurance	Fundamental	30
NNDR	Assurance	Fundamental	20
Payroll System	Assurance	Fundamental	30
Travel & Subsistence System	Assurance	Fundamental	20
Total			170

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
Total			100

Corporate Governance Assurance	Type of Engagement	Risk Consideration	Audit Plan Days
Complaints	Assurance	G&AC Request	25
Corporate Governance Arrangements	Assurance	Corporate Risk Register	20
Net Zero Carbon	Assurance	Corporate Risk Register	20
Performance Management/Wellbeing of Future Generations Act	Assurance	Corporate Risk Register	20
Whistleblowing	Assurance	Corporate Risk Register	20
Workforce Planning	Assurance	Corporate Risk Register	20
Total			125

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
Total			60

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	20
Communities for Work +	Certification	Corporate Risk Register	10
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	25
Other Grants (where assurance is required for sign-off)	Assurance for Sign Off	Corporate Risk Register	20
Post 16 Grant	Certification	Corporate Risk Register	10
RCSIG - Education Improvement Grant	Certification	Corporate Risk Register	20
Trust Funds	Certification	Certification	20
Turnaround Grant	Certification	Corporate Risk Register	10
Wales Pension Partnership	Accounts Return	Certification	5
Youth Justice Grant	Certification	Corporate Risk Register	10
Total			210

Departmental Reviews	Type of Engagement	Risk Consideration	Audit Plan Days
Chief Executive's Department (not including IT)			
Civil Registrations	Assurance	Service Risk Register	10

Freedom of Information (follow-up)	Assurance	G&AC Request	10
Levelling Up Fund: Debenhams HWBS and Tywi Cycle Path	Assurance	Corporate Risk Register	20
Property Leases (Concessions)	Assurance	IA identified	15
Chief Executive's Department: IT			
CCTV	Assurance	IA identified	15
Cyber Security	Assurance	Corporate Risk Register	20
Network User Access	Assurance	Service identified	15
Gold/Core System Applications	Assurance	Service identified	15
Communities			
Actif Communities	Assurance	Service Risk Register	15
Commissioned Care - Care Homes	Assurance	Service Risk Register	20
Housing Rents	Assurance	Service Risk Register	20
Licensing	Assurance	IA identified	20
Supported Living	Assurance	Service Risk Register	20
Theatres	Assurance	Service Risk Register	20
Corporate Services			
Risk Register	Assurance	Service identified	20
Education & Children's Services			
Foster Care/Looked After Children	Assurance	Service Risk Register	20
School Balances	Assurance	Corporate Risk Register	20
School Questionnaires	Assurance	Corporate Risk Register	20
School Visit	Assurance	Corporate Risk Register	10
Thematic Review - School Fund	Assurance	IA identified	20
Universal Free School Meals	Assurance	IA identified	20
Welfare Cards - Follow-up	Assurance	G&AC Request	20
Place & Infrastructure			
Asset Management HAVS - Follow up	Assurance	IA identified	10
Transport Management & Maintenance	Assurance	Service Risk Register	20
Grounds Maintenance	Assurance	Service Risk Register	15
Planning Applications - Extensions of Time	Assurance	Service Risk Register	15
Public Transport	Assurance	Service Risk Register	15
Section 106: Affordable Homes	Assurance	Corporate Risk Register	15
Total			475

TOTAL DAYS	1140
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Additional Work	Days
Departmental Advisory Work (10 days allocated per Dept)	50
Various Departmental Working Groups (10 days allocated per Dept)	50
Total	100

TOTAL DAYS	1240
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Carmarthenshire County Council - Internal Audit 3 Year Plan 2024/25			
	2024/25	2025/26	2026/27
Required Assurance - Fundamental Audits			
Appointeeships		✓	
Budget Setting and Monitoring			✓
Capital Accounting including Fixed Asset Register		✓	
Cash & Bank		✓	
Council Tax			✓
Creditor Payments	✓	✓	✓
Debtors System	✓		
Deputyships - Communities	✓		
Deputyships - Corporate Services			✓
Expenditure	✓		
Housing Benefits		✓	
Income		✓	
Main Accounting			✓
NNDR	✓		
Payroll System	✓	✓	✓
Pensions Payroll System		✓	
Petty Cash / Sundry Expenses			✓
Travel & Subsistence System	✓		
Treasury Management - Loans & Investments (CCC and DPF)			✓
VAT		✓	
Corporate Governance Assurance			
Complaints	✓		
Corporate Governance Arrangements/Annual Governance Statement	✓	✓	✓
Corporate Strategy/Policy Making			✓
Data Protection			✓
Declaration of Interests			✓
Net Zero Carbon	✓		
Performance Management/Wellbeing of Future Generations Act	✓		
Risk Management Arrangements		✓	
Welsh Language Standards		✓	
Whistleblowing	✓		
Workforce Planning	✓		
Corporate Review Work			
CCC Companies Governance	✓	✓	✓

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

PWYLLGOR LLYWODRAETHU AC ARCHWILIO 8 MAWRTH 2024

COFRESTR RISG CORFFORAETHOL 2023/24

CYNGOR SIR CAERFYRDDIN

Yr Argymhellion / Penderfyniadau Allweddol Sydd Eu Hangen:

- I dderbyn Cofrestr Risg Corfforaethol

Y Rhesymau:

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

Ymgynghorwyd â'r pwyllgor craffu perthnasol: Amherthnasol

Angen i'r Cabinet wneud penderfyniad: Nac Oes

Angen i'r Cyngor wneud penderfyniad: Nac Oes

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

Cyng. A Lenny

Y Gyfarwyddiaeth:

Gwasanathau Corfforaethol

Enw Pennaeth y

Gwasanaeth:

Helen Pugh

Swyddi:

Pennaeth Refeniw a
Chydymffurfio Ariannol

Rhif ffôn: 01267 246223

Cyfeiriad e-bost:

HLPugh@sirgar.gov.uk

Awdur yr Adroddiad:

Helen Pugh

EXECUTIVE SUMMARY

CARMARTHENSHIRE COUNTY COUNCIL'S CORPORATE RISK REGISTER 2023/24

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

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

Removal of risks from the Corporate Risk Register **NONE**

New risks added to the Corporate Risk Register

CRR190080 – Corporate Safeguarding – Failure to ensure that adequate Corporate Safeguarding arrangements are in place.

New risks suggested but decision taken that they should be managed through Departmental Risk Registers **NONE**

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: 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

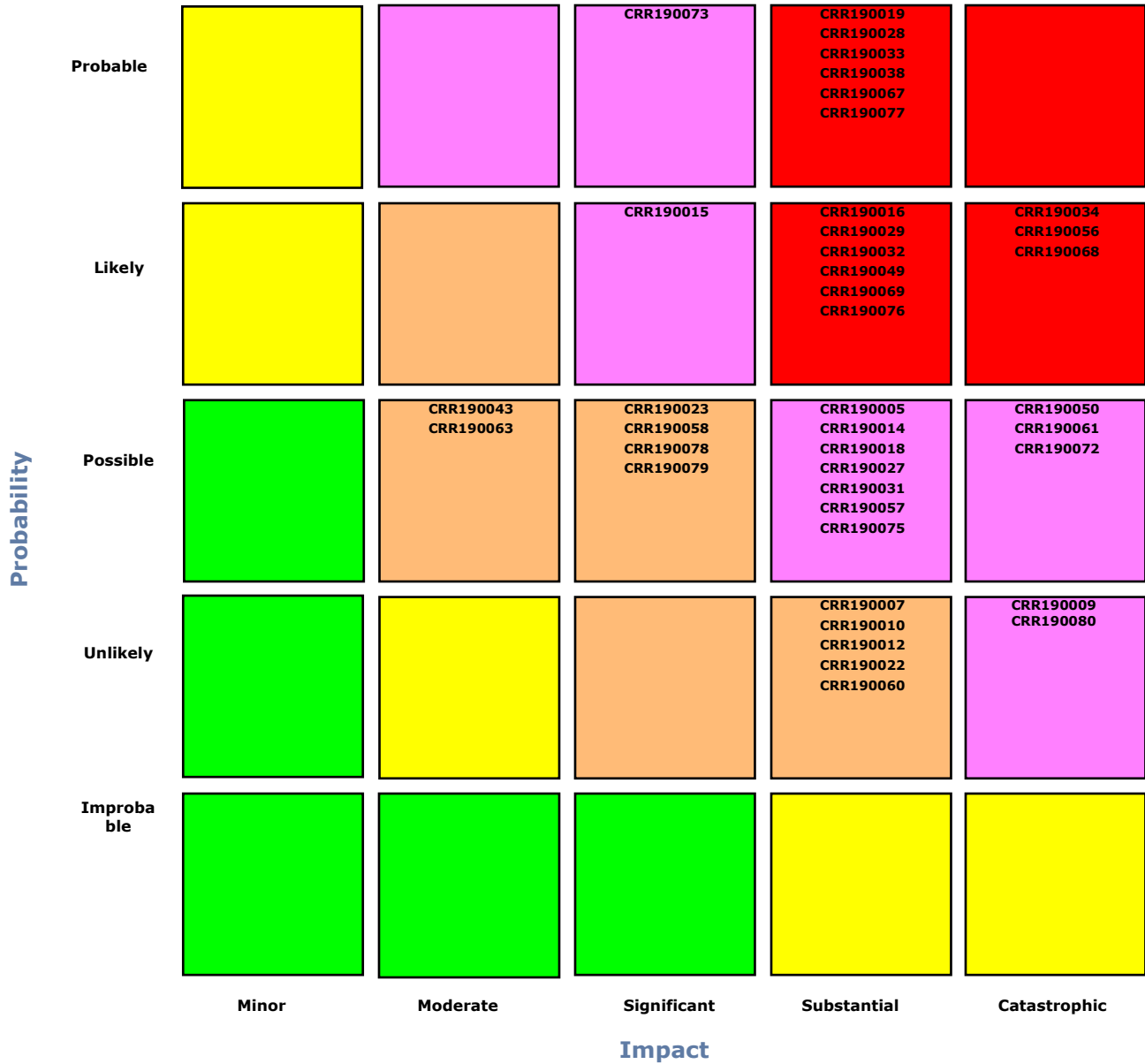
CABINET PORTFOLIO HOLDER(S)
AWARE/CONSULTED: No

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

Carmarthenshire Heatmap



Detailed Risk Information

Current Risk Rating	Risk Ref	Details	Assigned To
20	CRR190019	Failure to ensure that schools effectively manage their resources and respond to the challenges of reduced funding	Director of Education & Children Services
20	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

Detailed Risk Information

Current Risk Rating	Risk Ref	Details	Assigned To
20	CRR190033	<p>Extreme Weather Event - Operational Risk</p> <p>The physical effects of more frequent and intense weather patterns including storms and significant heat extremes 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>	Corporate Management Team
20	CRR190034	<p>Cyber Risk such as:</p> <ul style="list-style-type: none"> - 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
20	CRR190038	Increasing sickness absence and management of stress in the workplace.	Assistant Chief Executive
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
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 (£63 million), as a consequence of falling investment levels leading to high levels of demand and 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	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	CRR190029	<p>Net Zero Carbon</p> <p>Failure to deliver the Council's commitment to become a net zero carbon local authority by 2030</p>	Director of Place & Infrastructure/Head of Place and Sustainability

Detailed Risk Information

Current Risk Rating	Risk Ref	Details	Assigned To
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	CRR190049	Risk of local business and economy not recovering from the cost-of-living crises and rises in energy and inflation.	Head of Regeneration
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	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. <ul style="list-style-type: none"> - Failure to meet grant expenditure conditions. - contractors resources depleted - contract failure - cost increases - sourcing materials - Contractors unwilling to carry out work at framework prices 	Property Maintenance Manager
15	CRR190061	Attracting, recruiting and retaining talent	Assistant Chief Executive
15	CRR190072	Deterioration of the condition of school and non-school buildings due to resource pressures (financial and human) necessitating postponement of timely interventions	Property Maintenance Manager
15	CRR190073	Ensure effective Business Continuity Arrangements are in place.	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	CRR190014	Delivery of the Pentre Awel Project (Outcomes / Budget)	Chief Executive
12	CRR190015	Delivery of the Approved Capital Programme (Outcomes / Budget)	Director of Corporate Services
12	CRR190018	Failure to deliver a quality Education Service	Director of Education & Children Services
12	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 Audit Wales)	Head of Revenues & Financial Compliance/ Director of Corporate Services

Detailed Risk Information

Current Risk Rating	Risk Ref	Details	Assigned To
12	CRR190031	Failure to comply with the requirements of the Local Government and Elections (Wales) Act	Corporate Management Team
12	CRR190057	Maintain and develop an effective Local Development Plan	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	CRR190080	Corporate Safeguarding Failure to ensure that adequate Corporate Safeguarding arrangements are in place	Director of Communities
10	CRR190009	Deliver Effective Safeguarding Arrangements - Children (Detail in separate Safeguarding Risk Register)	Head of Children Services
9	CRR190023	Management and delivery of UK Government's Shared Prosperity Fund	Economic Development Manager
9	CRR190058	SAC Phosphate & NRW Interim Planning Advice	Director of Place & Infrastructure/Head of Place and Sustainability
9	CRR190078	Failure to address recent concerns regarding the presence of Reinforced Autoclaved Aerated Concrete (RAAC) in non-housing properties.	Head of Regeneration
9	CRR190079	Managing Premises with emphasis of Fire Safety in the Hybrid working environment.	Head of Regeneration
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
8	CRR190012	Failure to adhere to an effective Corporate Governance Framework	Head of Revenues & Financial Compliance
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	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
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

Carmarthenshire Risk Register for CMT 22nd February 2024

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		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190034/001	Cyber incident response plan	Head of ICT & Policy	Significant 25	Significant 20	
CRR190034/002	Staff awareness training	Head of ICT & Policy		Catastrophic	
CRR190034/003	Firewalls	Head of ICT & Policy		Likely	
CRR190034/004	Application control on servers	Head of ICT & Policy			
CRR190034/005	Security updates continuously rolled out	Head of ICT & Policy			
CRR190034/006	Annual, certified vulnerability assessments are carried out to find out if known vulnerabilities exist within our systems	Head of ICT & Policy			
CRR190034/007	Cyber Security Team conducts internal vulnerability scans continuously to ensure compliance with software update schedule and to quickly identify high risk issues.	Head of ICT & Policy			
CRR190034/008	Proactive monitoring of network and endpoint activity to detect and alert on potential adversarial behaviour - this includes post-compromise hacker activity as well as insider threats.	Head of ICT & Policy			
CRR190034/009	National Cyber Security Centre Advanced Cyber Defence tools are being used to help prevent commodity attacks.	Head of ICT & Policy			
Action Items					
	Judalen 111				

Risk Register - Carmarthenshire Corporate Risk Register

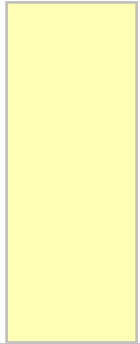
Manager

Corporate Management Team

- Departmental Review for CMT
February 2024 Update

We are working with the elections team to understand the cyber risks that have been highlighted by electoral services to the upcoming elections. We are still receiving a high number of phishing emails which are bypassing the email filtering system (Microsoft Cloud Filtering). We are looking to review options and potentially migrate to another systems. The launch of the ThinkQi L&D system is expected to happen in Q1 on this year. Cyber awareness training will then be delivered to all staff on an annual basis.

The current risk is significant. That is because we've increased the probability from possible to likely. We've had a very clear message from Audit Wales and the Welsh Government that "it's a matter of when, not if" we become victims of a successful attack of some sort. We're also seeing a large number of phishing attacks via email, some of which are getting through. UK Government have also put all public sector organisations on "high alert" due to the war in Ukraine, as of January this year.



Risk Ref	Risk Title	Assigned To	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190038	Increasing sickness absence and management of stress in the workplace.	Assistant Chief Executive				
Control Measures						
CRR190038/001	Robust sickness absence management framework	Assistant Chief Executive		Significant 20	Significant 20	
CRR190038/006	Resilience, self-service training availability (preventative action)	Assistant Chief Executive			Substantial Probable	
CRR190038/007	Mental health / wellbeing checks integral part of 1-1's, supervision etc.	Assistant Chief Executive				
CRR190038/002	Robust stress management in the workplace framework	Assistant Chief Executive				
CRR190038/003	Provision of an adequately resourced occupational health service	Assistant Chief Executive				
CRR190038/004	Wellbeing Champions network	Assistant Chief Executive				
CRR190038/005	Mental Health First Aiders	Assistant Chief Executive				
Action Items						
	<ul style="list-style-type: none"> Departmental Review for CMT February 2024 Update <p>Continues to be an area of concern. Short term absences are more problematic In relation to long term absences, NHS waiting lists and access to secondary care is a factor, meaning staff are off for longer. Work is underway within some departments to establish the underlying causes of absence. Training for additional MHFA being organised for March 2024 Detailed monitoring reports considered at Scrutiny and CMT in the last 6 months. Dedicated HoS / CMT meeting scheduled in March to look at how we address the problem moving forward. Referrals into our OH service are increasing but recruitment into key posts is problematic. Despite the above control measures, absence levels do not appear to be reducing. No change to score.</p>					

Open 113

Risk Ref	Risk Title	Assigned To
CRR190033	<p>Extreme Weather Event - Operational Risk</p> <p>The physical effects of more frequent and intense weather patterns including storms and significant heat extremes 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>	Corporate Management Team

Control Measures	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
<p>CRR190033/002</p> <p>Management of the response to a storm event in accordance with our strategic emergency plans, protocols and command structures. Available resources are prioritised according to strategic requirements.</p>	Director of Place & Infrastructure	<p>Significant</p> <p>20</p>	<p>Significant</p> <p>20</p> <p>Substantial</p> <p>Probable</p>	

Action Items

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Tudalen 114

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

- Departmental Review for CMT
January 2024 Update (Daniel John/ Ben Kathrens)

Recent analysis as suggested that in total, there are 12,600 addresses at risk of flooding from any source in Carmarthenshire.
10,486 dwellings
1,471 businesses

We have 2720 addresses at risk of tidal inundation
5808 at risk of fluvial flooding and
7099 at risk of surface water flooding

In contrast to last year, it has been a busy year with multiple storms and significant flooding. During Storm Gerrit and Henk over the Christmas and New Year period, we were significantly stretched in terms of our operational and strategic response, and we are investigating how we manage these situations better in the future, in partnership with blue lights services and partner Orgs.

We have continued to benefit from Welsh Government capital flood grant but the loss of a £225k revenue grant to the RSG is of concern. This year, significant capital projects have been delivered at Ammanford and Newcastle Emlyn and we will continue to manage our assets as efficiently as possible, utilising new technology.

Our current funded works programme will benefit 1500 properties and businesses (only 12% of those at risk in Carmarthenshire).

Financial pressure will impact on our ability to undertake preventative works but more importantly, we are struggling to recruit skilled Flood Risk Management officers and engineers. The team has operated with a vacancy rate of 15-20% this financial year but currently (Jan 24) the rate is closer to 35%.

- Financial position updated
February 2024

£300k emergency repairs to 2 sections of highway following recent storms seeking Welsh Government funding (uncertain).



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		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
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 20	Significant 20 Substantial Probable	
Action Items					
<ul style="list-style-type: none"> Departmental Review for CMT February 2024 Update <p>The current Risk Rating remains at Significant 20 (impact Substantial 4 and the probability remains Probable 5. This rating was increased in August 2023. School balances have reduced from £15 million March 2022 to £11 million March 2023. Director of Corporate Services presentation to Head Teachers Conference in June 2023 to highlight financial issues and to raise profile. Previous update still relevant for 2023 of 'Threat to reduced grant incomes as grants are flat cash v significant scale of pay rewards. It is hard to accurately cost grant bids due to the scale of uncertainty over pay awards and construction cost inflation thus increasing the risk', as well as 2022 Soulbury still not agreed. 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 and with the situation worsening more schools will be going into deficit. The Schools' Transformation Project in relation to schools will support school leaders with ensuring value for money and securing further efficiencies. 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 into deficit budget and will increase the deficit in those schools already in deficit. The risk rating will be reviewed after the 2024-25 Budget consultation has been concluded. As a result of our Service Evaluation Report for Estyn and in light of additional financial savings required by schools, we need to review the funding formula for primary and secondary schools, and this is an Action in our Development Plan for 2023 24, currently work being undertaken by two experienced seconded headteachers to discuss current model with schools and explore possibilities in relation to formula funding.</p>					

Tudalen 116

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

- Financial position updated February 2024

HOS of financial service raised profile in Chair of Governors Autumn Conference, Draft budget includes £2.454m. Forecast £8-9 million draw on school reserves by April 2024. Current trend not sustainable in the longer term.



Risk Ref	Risk Title	Assigned To	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
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						
CRR190028/001	Develop and use a more robust competency based process to recruit school leaders		Head of Education and Inclusion	Significant 20	Significant 20	
CRR190028/002	Provide each new school leader with a mentor who's an experienced and successful school leader		Head of School Effectiveness		Substantial Probable	
CRR190028/003	Encourage leaders and prospective leaders to enrol on Partneriaeth's leadership courses/programmes		Head of School Effectiveness			
CRR190028/004	Provide Educational Support Adviser support for all new school leaders and provide bespoke induction/mentoring programme		Head of School Effectiveness			
CRR190028/005	Use the Headteacher Performance Management process effectively to challenge, develop and support school leaders		Head of School Effectiveness			
Action Items						
<ul style="list-style-type: none"> Departmental Review for CMT February 2024 Update <p>The current Risk Rating remains at the increased score of Significant 20, the impact remains Substantial 4 and the probability remains Probable 5. 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.</p> <p>Currently, there is significant demand on leadership in our primary sector. A number of headteachers retired at the end of the last academic year placing significant pressure on the system and officers to identify new leaders and attract appropriate qualified candidates. This has proved to be the case for a number of vacancies during the last couple of months.</p> <p>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. The recruitment and retention consultation group have researched extensively the demand both locally and nationally, informing key priorities for improvement. The group has reported to scrutiny who have agreed all actions; subsequently action plans have been drafted, focussing specifically on developing a leadership academy, marketing education in Carmarthenshire, the recruitment process and the ongoing analysis of recruitment and retention data. A focus on shared roles, and the development of apprenticeship opportunities are also being pursued. In addition we have been selected by Cardiff University to work alongside them in exploring this national crisis further, sharing challenges and action plans.</p>						

Children 118

Risk Ref	Risk Title	Assigned To	Control Measures	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
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					
CRR190056/001	Medium Term Financial Strategy - 3 Year Plan (including efficiency targets)	Director of Corporate Services/Head of Financial Services			Significant 20	Significant 20	
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				Catastrophic Likely	
CRR190056/003	Challenge from Scrutiny Committees	Head of Administration & Law					
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	Transformation programme to support services to become more commercial ensuring operating costs are fully recovered	Assistant Chief Executive					
CRR190056/007	Robust workforce planning framework to ensure Services consider and predict future needs and demands and plan accordingly knowledge, skills, service delivery models.	Assistant Chief Executive					
CRR190056/008	Wales Audit Office external challenge and assessment	Director of Corporate Services/Head of Financial Services					
CRR190056/010	Transformation programme to identify and delivery projects aimed at reducing duplication and waste	Assistant Chief Executive					
CRR190056/011	Transformation programme to maximise the benefits that AI can help us deliver	Assistant Chief Executive					
CRR190056/009	Individual Heads of Service to develop efficiencies following external budget challenge reports	Director of Corporate Services					
Action Items							

Total 119

Risk Register - Carmarthenshire Corporate Risk Register

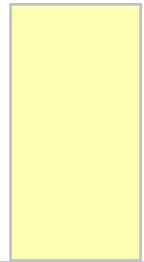
Manager

Corporate Management Team

- Departmental Review for CMT
February 2024 Update

Very significant draw on School balances (£9m forecast vs £11m held at year end). Draft 24/25 budget based on £38m budget gap vs £11m WG funding. £10.8 m departments savings, £2m vacancy factor and 6.5%CT increase. Still requires £0.8m gap to be bridged. Budget includes significant risks over future pay awards & assumptions regarding full funding of teachers & fire fighters pensions.

Risk rating score has been considered and to remain at Significant as control measures are in place and monitored closely.



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		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
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					
<ul style="list-style-type: none"> Departmental Review for CMT January 2024 Update (Daniel John/ Richard Waters) <p>Market engaged and additional resource secured with external contractors utilise to address peaks in demand. Operators Licence and service critical vehicles prioritised. Service performance monitored with Fleet availability targeted to be above 95%. Operational risk mitigated through supply chain engagement. Fleet transitioning to support net zero carbon goals with electric vehicles and charging infrastructure. Nature of risk is changing from operational to strategic.</p>					

Risk Ref	Risk Title	Assigned To			
CRR190068	Continued deterioration of the condition of highways infrastructure and assets. Failure to address maintenance backlog (£63 million), as a consequence of falling investment levels leading to high levels of demand and Increased level of claims.	Director of Place & Infrastructure/Head of Transportation & Highways			
Control Measures		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
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	
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		Catastrophic Likely	
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					
<ul style="list-style-type: none"> Financial position update February 2024 2024-25 Capital Programme increased allocation from £600k to £2M, though recognition that this is still not enough. Departmental Review for CMT February 2024 Update <p>Continued deterioration of the condition of highways infrastructure and assets. Failure to address maintenance backlog (£63 million), as a consequence of falling investment levels leading to high levels of demand and Increased level of claims.</p>					

Risk Ref	Risk 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	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023	
CRR190067/001	Support the sector to grow the workforce.	Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning	Significant 25	Significant 20	
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		Substantial Probable	
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			
CRR190067/006	Refresh of domiciliary care commissioning framework completed	Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning			
CRR190067/007	Commissioned preventative services in the third sector to develop five community hubs to reduce demand pressures.	Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning			
CRR190067/008	Developed the Care Academi.	Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning			

Action Items
Tudalen 123

- Departmental Review for CMT
February 2024 Update

We continue to experience pressures, however, there is a gradual reduction in numbers of people waiting for a package of care and on going action are as follows:

We have recently refreshed our domiciliary care framework and this has attracted a number of new providers to the market.

Our strategic approach to grow the in house service remains, but recruitment challenges has impacted on our ability to achieve this.

However, we are seeing an increased number of applicants in recent weeks which will have a positive impact.

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 and numbers waiting I hospital for care have reduced significantly. 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. Waiting lists are down, time taken to carry out assessments has also reduced. Whilst this currently indicates a stable position and a reduced risk, the situation in the home care market remains volatile and is under constant review.

- Financial position updated
February 2024

Draft budget papers reference need for national debate over funding mechanisms as weekly cap has remained fixed despite high inflation.



Risk Register - Carmarthenshire Corporate Risk Register

Manager

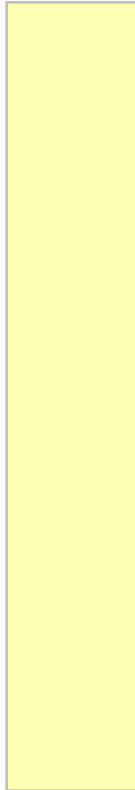
Corporate Management Team

Risk Ref	Risk Title	Assigned To			
CRR190049	Risk of local business and economy not recovering from the cost-of-living crises and rises in energy and inflation.	Head of Regeneration			
Control Measures		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190049/001	Financial support to businesses	Head of Regeneration	Significant	Significant	
CRR190049/002	Advice to businesses	Head of Regeneration	20	16	
CRR190049/003	Support to businesses	Head of Regeneration		Substantial	
CRR190049/004	Embed the Carmarthenshire 1st approach as part of our progressive procurement process.	Head of Regeneration		Likely	
CRR190049/005	Robust economic plans to protect jobs and safeguard businesses.	Head of Regeneration			
Action Items					

Tudalen 125

- Departmental Review for CMT
February 2024 Update

Work continues to deliver the Carmarthenshire Economic Recovery Plan (ERP) £4.5m of financial support has been made available to businesses over the next two years through the Shared Prosperity Fund (SPF) business anchor projects via the Property development Fund (PDF), Business Renewable Energy Fund (BREF) and Business Growth & Start Up Fund. - The PDF, BREF and Business Growth & start Up funds were all launched March 2023. Business Renewable Energy Fund - 39 Expressions of Interest have been approved to the value of the available fund. Of those EOIs 17 grant awards have been made totalling £471,000. Property development Fund - 5 Stage 1 applications totalling a value of £3m have been assessed and a prioritisation exercise has been undertaken which has resulted in 3 of those projects being invited forward to submit detail applications for the available £1.5m fund. Two of the three projects have now received formal awards totalling £960,000 and work has commenced on site. To end December 2023, 69 awards (18 start up and 51 Growth) totalling £464k have been approved under the business growth and Start up fund. Funding has also been secured under the SPF business anchor to deliver the Sir Gâr Business Engagement Project that will see support provided to businesses to encourage inter trading, support local supply chains, support delivery of progressive procurement initiative and encouraging entrepreneurship – work has commenced on delivery of business engagement project in October 2023 with a 18mth plan in place to deliver the project. The Christmas Pop up initiative has been successfully delivered in Carmarthen, Ammanford and Llanelli Town Centres supporting 66 local businesses. The Business Engagement team have supported the procurement team and the various purchasing managers / teams to raise awareness of up and coming CCC tenders / contracts among the business community. Recent contracts included Minor works, PPE & Workwear, Drainage and Civils, Property Work Framework as well as the 2nd tier opportunities of Pentre Awel. The team have also worked in partnership with the procurement team to run Procurement & Business Support Surgeries, which have proven very successful. Each session, of which there have been 7 to date, have been fully booked with the maximum of 12 businesses per day. These have been held in The Beacon, Yr Egin, and the Carmarthen Hwb with more being planned for 2024 which will take place in the rural towns throughout the County. The team are also mapping businesses which can be added to lists for procuring officers in CCC to request quotes for work less than £25k, resulting in more work being sourced from Carmarthenshire businesses. Generally the CCC business team have also engaged with 6 large employers in relation to business development and provided a further 56 businesses with general engagement / enquiries / referrals to support and funding.



Risk Ref	Risk Title	Assigned To	Control Measures	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
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					
CRR190069/001	Parcel work based on type and geographical location to encourage take up by contractor			Head of Housing Property & Strategic Projects	Significant 20	Significant 16	
CRR190069/002	Introduce a new Property Works Framework by August 2023			Head of Housing Property & Strategic Projects		Substantial Likely	
CRR190069/003	Staffing resources to be reviewed as part of Divisional realignment in 2022			Head of Housing Property & Strategic Projects			
CRR190069/005	Employment of additional operational staff to provide greater in-house resilience and to reduce dependence on limited contract contractor base in the area			Head of Housing Property & Strategic Projects			
CRR190069/006	Undertake a review of Voids repair 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			
CRR190069/008	Discussions with contractors to encourage take up of work during remaining period of the Minor Works Framework			Head of Housing Property & Strategic Projects			
Action Items							

- Departmental Review for CMT February 2024 Update

Work continues to be packaged by geographic area and by type to facilitate delivery by the limited number of contractors available via the current Minor Works Framework. We are also trialling in-house operatives working on Saturdays to make further progress in reducing the backlog. The volume of work being delivered has increased from 26,000 last financial year to a projected 32,000 this year. While turnaround times have improved in some key areas, other repairs continue to take longer than desired. The new Property Works Framework is to be issued for tender by the end of January for implementation from 1st August 2024.

Staffing resources continue to be reviewed and the 2024/27 HRA Business Plan sets out that "We plan to increase our in-house provision around managing and implementing repairs and re-balance the current split between internal and external contractors." and "In 2024/25 we will introduce a new handy person service which will give our officers more "tools" to do their job and have direct access to preventative services on our estates. The handy person service will focus on carrying out low level repairs on tenant's homes, ground maintenance and general improvement works on priority estates in the Carmarthen, Ammanford and Llanelli areas."

Discussions have been held with a number of contractors to identify reasons for not taking work, with some success, although framework rates, skills shortages and high demand remain barriers to framework contractors taking work. The new Framework and batching of work should lead to improvements.

Some additional operational staff have been recruited for responsive maintenance and voids, but approval is awaited to employ in-house staff for Adaptations. The ambition remains to significantly further increase in-house resources from spring 2024, subject to a review of productivity and efficiency of the current in-house team.

The Voids Review was completed in May 2022 and all the recommendations have been accepted. Implementation of many have completed and some are ongoing. A cross-Divisional Implementation Group has been established to monitor and deliver ongoing progress. We have also worked with House Mark to undertake an external review of our Voids Service with additional actions identified for the Action Plan. Voids have reduced from a peak of 434 at the end of May 2022 to a current level of 197 at the end of January 2024.

Implementation of Total Connect is ongoing and is due to be completed on a phased basis over various teams between now and April 2024.



Risk Ref	Risk Title	Assigned To	Control Measures	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
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					
CRR190032/001	Flood Risk Strategy and FRMPs	Director of Place & Infrastructure			Significant 20	Significant 16	
CRR190032/002	Community Plans in terms of self-help where practicable	Director of Place & Infrastructure				Substantial Likely	
CRR190032/003	Continue to work with our professional partners (as a LLFA)	Director of Place & Infrastructure					
CRR190032/004	S19 Reports and action plans	Director of Place & Infrastructure					
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							
Tudalen 129							

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

- Departmental Review for CMT
January 2024 Update (Rhodri Griffiths/ Ben Kathrens)

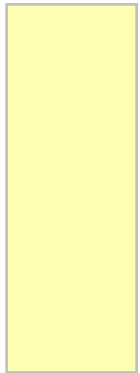
Maintain existing rating.

In 2024, we are currently completing a flood risk management strategy which will seek to evaluate the risk across the county and in our 6 primary risk catchments. The strategy and associated plan will set out our priorities for managing flood risk over the next 7 years (2024-2030).

Our annual works programme also involves the strategic evaluation of flood risk at community level.

This has included to date:

Llanybydder, Llandysul, Llangennech, Kidwelly, Penyfan and Trostre (East Llanelli), Heol Buckey (Llanelli), Bynea (Llanelli), Ammanford and Whitland.



Risk Ref	Risk 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		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190016/001	Maintain current provision and infrastructure for recycling	Head of Waste & Environmental Services	Significant 20	Significant 16	
CRR190016/002	Continue education and awareness activity to improve participation	Head of Waste & Environmental Services		Substantial Likely	
Action Items					
<ul style="list-style-type: none"> Departmental Review for CMT January 2024 Update (Daniel John/ Geinor Lewis) <p>Improvements in current infrastructure for recycling- Following the initial stage of the Waste Strategy by implementing improvements to kerbside recycling facilities, further work to plan the Bring Site review has been finalised and an operational programme of works is due to commence in February to reduce the bring site network by 75%. Due to the kerbside glass collection handling 2,686 tonnes from one year January 2023 – January 2024 there is no longer a requirement for the extensive network of community bring sites as they are no longer receiving the volumes of glass with 96% of households receiving kerbside provisions. Reducing the bring site numbers allows efficiencies in terms of resource requirements and reducing carbon footprint through less vehicle movements and allowing for more glass to be collected at kerbside promoting increased recycling opportunities and reducing the material entering the non-recyclable waste stream.</p> <p>Education, Awareness and Enforcement Community Recycling Advisors, Waste Wardens and Enforcement Officers have been actively engaging within the community to initially raise awareness and educate residents into full compliance with the kerbside recycling scheme. Proactive targeted engagements have been undertaken in hotspot areas where larger areas have been identified with non-compliance and a collaborative team approach has been established to deal with the issues of concern. This allows for a tailored approach whereby pending the issues the relevant officers can deal with the matter, ranging from advice and recycling item provisions to s.46 notice. Programmes of work have been created to undertake proactive engagement and the teams undertake reactive call outs when identified issues are raised. Communications in terms of recycling scheme and key messages around recycling items have been developed.</p> <ul style="list-style-type: none"> Financial position updated February 2024 £2M pressure included in 24-25 budget to recognise increased ongoing costs of interim waste collection service. 					

Tudor
John
131

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		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190029/001	The Council has adopted a realistic, pragmatic and achievable approach in its Net Zero Carbon Plan.	Head of Place & Sustainability	Significant 20	Significant 16 Substantial Likely	
Action Items					
<ul style="list-style-type: none"> Departmental Review for CMT – 22nd February 2024 January 2024 Update (Rhodri Griffiths/ Kendal Davies) <p>Increase the risk rating to Substantial x Likely = 16</p> <ul style="list-style-type: none"> In 2022/23, our finalised total reported emissions reduced by -6.3% compared to 2021/22 i.e., Streetlighting (-2.8%), Fleet (+0.3%) and Business Mileage (+7.5%). There was a significant -9.1% reduction in emissions from our Non-Domestic Buildings (these account for ~70% of our total reported carbon emissions). Since 2016/17 our reported carbon emissions have reduced by -36%. In August 2023 we secured Welsh Government Low Carbon Heat Grant funding for six primary schools. Total project cost is £4.42m with 90% funding of £3.57m (2023/24) plus £0.41m (2024/25). Welsh Government are funding Local Area Energy Plans (LAEPs) to ensure coverage across each local authority area by 31/03/2024. We are the lead local authority for the SW Wales Region, and work is progressing well. We are on target to publish a revised Net Zero Carbon (NZC) / Decarbonisation Plan by 31/03/2024 that will incorporate Welsh Government guidance, together with trajectories for carbon emission reductions accompanied by milestone targets. The estimated cost of achieving the council's low carbon net zero plan is £166+m. This estimate is based on £133m in achieving 80% compliance with the target recognising the disproportionate cost of additional mitigation measures in achieving the residual 20% reduction through carbon mitigation measures. It is anticipated that the 20% residual carbon would likely be delivered through carbon offsetting. Total cost is therefore likely in excess of £166m+ to achieve the net zero commitment. In light of the budget settlement and while the council will explore all avenues of funding to support the programme, the total cost of monies to fund the programme is yet to be identified ahead of 2030. 					

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		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
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					
<ul style="list-style-type: none"> Departmental Review for CMT January 2024 Update (Daniel John/ Richard Waters) <p>Officers continue to work with private transport operators to ensure the supply of transport services continue to meet the changing demand for home to school transport. Active engagement by officers on a national and regional basis with WG takes place to maximise passenger transport services for the available funding with services adjusted in accordance with allocated WG funding.</p> <ul style="list-style-type: none"> Financial position updated February 2024 <p>Significant overspend in current year budget pressure funded in 24/25 budget.</p>					

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

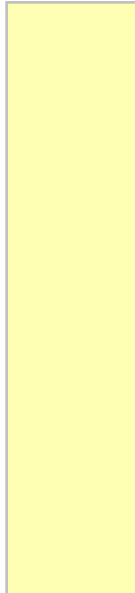
Risk Ref	Risk Title	Assigned To	Control Measures	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190061	Attracting, recruiting and retaining talent	Assistant Chief Executive					
CRR190061/001	Improved internal recruitment processes including approach to interviews.	Assistant Chief Executive			Significant	High	
CRR190061/002	Flexible People Management policies	Assistant Chief Executive			25	15	Catastrophic
CRR190061/003	Up to date Workforce Strategy	Assistant Chief Executive				Possible	
CRR190061/004	Robust Workforce Planning	Assistant Chief Executive					
CRR190061/005	Improved employer branding	Assistant Chief Executive					
CRR190061/011	Visible career pathways with sponsored qualification frameworks for progression (alternative routes to higher education)	Assistant Chief Executive					
CRR190061/006	Flexible People Management policies	Assistant Chief Executive					
CRR190061/007	Opportunities to develop	Assistant Chief Executive					
CRR190061/008	Provision of wellbeing support	Assistant Chief Executive					
CRR190061/009	Providing staff with a voice	Assistant Chief Executive					
CRR190061/010	Employer of Choice - Improve linkages between L&D and Education Department to promote career opportunities within schools e.g.	Assistant Chief Executive					
Action Items							
Tudalen 134							

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

- Departmental Review for CMT February 2024 Update
 - New Recruitment System go live date 15 February which will see all services accessing it by the end of 2024. This will go some way to improving employer brand.
 - People Management policies are regularly reviewed, updated and developed to respond to changing employment legislation and needs of the organisation
 - New Workforce Strategy on target to published from April 2024
 - New Workforce Planning toolkit available and promoted to managers. We have a robust workforce planning framework in place, with a range of resources available to managers, who have access to people management data to help them. Managers now need to use these resources and DMT's now need to come up with departmental workforce plans.
 - New Learning Management System on target to be launched this year
 - New Learning & Development Policy on target to be published during 2024 – ensuring fair access to learning opportunities for all.
 - There are concerns about the ability of the internal wellbeing team to continue providing the level of support as previously due to reduced staffing, recruitment freeze and funding.
 - Staff Forum meeting once a quarter. Annual staff survey completed. Hybrid working survey completed. Digital Skills survey completed.
 - Work underway with education colleagues. People Management representation at January Insight event to promote the careers available.
 - No change to risk rating.



Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To			
CRR190073	Ensure effective Business Continuity Arrangements are in place.	Corporate Management Team			
Control Measures		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190073/001	Risk Management group 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					
<ul style="list-style-type: none"> Departmental Review for CMT February 2024 Update <p>The Business Continuity Task & Finish Group met on 21st November 2023; amended Business Continuity templates to go forward to the next Contingency Planning Working Group meeting scheduled for 26th February 24 for sign-off.</p>					

Risk Ref	Risk Title	Assigned To	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
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	Property Maintenance Manager				
Control Measures						
CRR190050/001	Review pipeline of projects with clients to align project delivery and budget with supply side capacity and market conditions.	Property Maintenance Manager		Significant 20	High 15	
CRR190050/003	Undertake regular financial checks on suppliers.	Property Maintenance Manager			Catastrophic Possible	
CRR190050/004	Approved exception process in place for exceptional circumstances	Property Maintenance Manager				
CRR190050/005	Undertake a review of the Council's Contract Risk allocation	Property Maintenance Manager				
Action Items						

- Departmental Review for CMT
February 2024 Update - Andrew D Tidy

Propose to maintain existing risk rating.

CRR 190050/001 – The remainder of pipeline of projects for SWWRFC20 continues to be reviewed with Sponsors as part of ongoing project progress, budget monitoring and scheme governance meetings. We continue to gather contractor data via our Key Performance Indicators. The pipeline for SWWRFC24 is currently being developed in readiness for the targeted launch of the new framework in November 2024.

CRR 190050/003 – In line with current protocol, financial checks continue to be undertaken as part of the contractor procurement process for each major project. Framework contractors are required to maintain the minimum financial requirements to allow qualification. In terms of individual major projects, budget monitoring continues to be undertaken on a continuous basis.

CRR 190050/004 – As per last report, the approved exception process continues to be used when required to progress projects (Section 151).

CRR 190050/005 – As per last report, the Head of Risk and Compliance has examined the contractual limitation of liability and has made a deliberated decision to align the cap with the level of Professional Liability. The determination of the Professional Liability level will be established by the Risk Section as an integral part of a procurement call off process. Discussions are continuing with the Risk Section in respect of professional service contracts in outlining of the particulars of Employers' Liability, Public Liability and Professional Indemnity policies. This is being supported by external legal advice.



Risk Ref	Risk Title	Assigned To			
CRR190072	Deterioration of the condition of school and non-school buildings due to resource pressures (financial and human) necessitating postponement of timely interventions	Property Maintenance Manager			
Control Measures		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190072/001	Building condition surveys on non-school buildings and reports to be reinstated	Property Maintenance Manager	Significant 25	High 15	
CRR190072/002	Building condition surveys on school buildings and reports to be reinstated	Property Maintenance Manager		Catastrophic	
CRR190072/003	Risk Management bid to be considered to fund urgent building condition surveys	Property Maintenance Manager		Possible	
CRR190072/004	Establishment of a Schools Handy Van service for Primary school, with 2 inspections by an inspector annually.	Property Maintenance Manager			
Action Items					

- Departmental Review for CMT
February 2024 Update - Jason G Jones

001 & 002 Ongoing condition surveys of educational facilities are being conducted as per the established program, in accordance with the framework agreed upon with Corporate Property. Notably, the most recent condition surveys indicate a noteworthy enhancement in overall facility conditions. However, it is essential to acknowledge that this improvement may be attributed to the implementation of a revised methodology introduced by the Welsh Government.

Presently, our projections indicate a substantial projected requirement of £80 million over the ensuing five years. This funding is necessary to ensure the continued maintenance of our entire commercial property portfolio at a level that aligns with reasonable condition standards.

004 The TIC Programme Board is overseeing the progress of the Schools Handy Van service. As part of this oversight, regular inspection visits for primary schools by the Handyvan team and Building Inspectors persist.

In our Property Maintenance team, we've compiled a thorough list of repair needs that require budget approval from the relevant schools. Unfortunately, there have been delays in obtaining these approvals. However, after recent proactive communication with the schools, we've managed to decrease the number of jobs awaiting budget approval. The remaining tasks have been forwarded to the Head of Education & Inclusion Services for approval.

In parallel, we have undertaken a cost analysis for the expansion of our services to encompass Secondary Schools and Corporate buildings. A business case has been developed and is presently under consideration through the development of a DOR.

In pursuit of continuity beyond the trial period, the Education Department has been tasked with the responsibility of formulating a growth bid to sustain the Primary Schools Handyvan Service.



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		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190014/001	Project Board is operational with suitable governance and representative membership	Chief Executive	Significant	High	
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	12	
CRR190014/003	Financial Planning	Director of Corporate Services		Substantial	
				Possible	
Action Items					

Tudalen 141

- Departmental Review for CMT
February 2024 Update

From a construction perspective, Zone 1 works are being delivered through the appointment of Bouygues UK Ltd as the principal contractor. The contract is being managed and administered in accordance with the NEC form of contracts. Works have been progressing well with the steel frame due to be completed in mid January and a topping out ceremony proposed for the end of February. Recent Health Board changes to scope and provision of space for the Zone 1 building is being captured and managed with impact on time and programme being considered. Community benefits are being delivered in line with the contractor's commitments and obligations. The plans for Zones 2 and 3 are being reviewed against the original business case and current demand/population need, with a view to providing a clear scope and timeline for the way forward. The hotel development in Zone 4 is on track and the Council will be going out to the market in late January 2024 for a development partner to take this aspect forward.

There has been significant progress over the last quarter, to reduce the risk in terms of the long-term operation of Pentre Awel as follows:

- Swansea University has signed their intention to lease for their Health and Wellbeing Academy.
- The final designs for the Health Board demise are in the process of being agreed and signing of the intention to lease is anticipated during February 2024.
- Funding has been secured via the Shared Prosperity Fund for two aligned bids delivered in partnership with Swansea and Cardiff Universities. The purpose of these grants is to provide the support to draw in potential business start ups/established businesses to secure space in Pentre Awel. A working group is due to commence in February 2024 to deliver the wider Business and Innovation Strategy for the development.
- Dialogue continues with education partners surrounding potential proposals to utilise the remaining space.

The risk surrounding long-term financial viability however still remains as current tenants secured equate to 28% occupancy against a target of 70% occupancy required on day 1 of operation to make the business case financially viable. A detailed project plan is in place and being delivered with a view to pursuing every possible angle to secure tenants for Zone 1 to mitigate the risk.



Risk Ref	Risk Title	Assigned To	Control Measures	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
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					
CRR190075/001	Managing demand at the front end through the newly formed "Housing Gateway" team that will ensure a full assessment of housing and support needs to ensure accommodation offered is sustainable.	Director of Communities			Significant 16	High 12	
CRR190075/002	Weekly monitoring of homelessness presentations use, and availability of temporary and permanent accommodation.	Director of Communities				Substantial Possible	
CRR190075/003	Continuing with direct allocation of homes to those in greatest need as per Emergency Allocation Policy.	Director of Communities					
CRR190075/004	Implementation of Rapid Rehousing Transitional Plan in partnership with internal and external stakeholders to ensure right home	Director of Communities					
CRR190075/005	Continued delivery of affordable homes programme to increase availability of affordable homes through new build (ourselves and RSLs), access to additional private rented accommodation, buying private sector homes, bringing more empty properties back into use and s106 agreements.	Director of Communities					
CRR190075/006	Continuing to deliver our commitments to the resettlement programmes in a managed and co-ordinated way.	Director of Communities					
Action Items			Target Date				
<ul style="list-style-type: none"> Departmental Review for CMT February 2024 Update <p>There is no change to the current risk rating. There are still significant housing pressures which we are mitigating.</p>							

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190031	Failure to comply with the requirements of the Local Government and Elections (Wales) Act	Corporate Management Team				
Control Measures						
CRR190031/001	Public participation strategy being produced	Corporate Management Team	Corporate Management Team	High 12	High 12	
CRR190031/002	Petition scheme being developed	Corporate Management Team	Corporate Management Team		Substantial Possible	
CRR190031/005	Collaborative working with Principal councils - awaiting further guidance from WG	Corporate Management Team	Corporate Management Team			
CRR190031/006	Corporate Joint Committees - Guidance awaiting from WG - LG engagement will be expected in developing regulation	Corporate Management Team	Corporate Management Team			
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	Corporate Management Team			
Action Items			Target Date			
<ul style="list-style-type: none"> Departmental Review for CMT February 2024 Update <p>A growing concern is the lack of internal staff who are interested in taking up election duties, particularly Polling Station duties, hence this Council is looking to recruit externally where reliability is often questioned. A high risk as on election day, these staff are on the front line delivering the vote. Impact of not implementing relevant legislation, poor planning assumptions, no comprehensive project plan and lack of coordination with other Returning Officers will lead to electors being disenfranchised, inconsistent voter experience and potential breach of legislation. The control measures we have in place such as a recruitment initiative, increasing fees, robust Project Team that has a wealth of experience in Finance, Communication, IT and election law, live issue and risk registers ensure that all necessary activities are planned for and sufficient resources are available.</p>						

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		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190015/001	Strategic Asset Steering Group	Head of Financial Services	Significant	High	
CRR190015/002	Project Grants Manual and Project Management Tool Kit	Head of Regeneration	16	12	Significant
CRR190015/003	Project Management Training	Assistant Chief Executive		Likely	
CRR190015/004	Long term Treasury management / loan funding	Director of Corporate Services			
CRR190015/005	Consideration to be given to prioritisation of approved schemes to maximise outcomes, subject to grant conditions.	Director of Corporate Services			
Action Items					
<ul style="list-style-type: none"> Departmental Review for CMT February 2024 Update <p>October budget monitoring indicates £53M potential variance/slippage, risk of potential delays to a high profile levelling up projects.</p>					

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	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190005/005	Recovery Group reviewing financial position	16	High	
CRR190005/006	Reprioritisation of funding to best address the current liabilities		Substantial Possible	
CRR190005/007	Reprioritisation of capital programme			
CRR190005/001	Project Management Training			
CRR190005/002	Grant Funding Bodies Guidance Briefings and Training			
CRR190005/003	Grants Panel			
CRR190005/004	Grants Manual / CPRs / FPRs			
CRR190005/008	Effective Budget Monitoring			
CRR190005/009	Contract management toolkit has been developed & E-Learning to be launched			

Action Items
<ul style="list-style-type: none"> Departmental Review for CMT February 2024 Update <p>Majority of WG grants are again flat cash which is a significant real terms reduction due to high pay awards & inflation.</p>

Tudor Group

Risk Ref	Risk Title	Assigned To	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190057	Maintain and develop an effective Local Development Plan	Head of Place & Sustainability				
Control Measures						
CRR190057/001	Development of an effective Local Development Plan (LDP)	Head of Place & Sustainability		High 12	High 12	
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			Substantial Possible	
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				
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				
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
January 2024 Update (Rhodri Griffiths/Ian Llewelyn)

CRR190057/001 AND 004 – Revised LDP 2nd Deposit and supporting documents published for public consultation between 17 February to the 14 April 2023. The response received are currently being registered with over 1200 representations received in relation to all aspects of the LDP as well as 12 for the Integrated Sustainability Appraisal and 17 for the Habitat Regulations Assessment predominately from technical and regulatory technical consultees.

The responses received will moving forward be considered and will form part of the suite of documentation to be submitted to the Welsh Government as part of the Examination into the Revised LDP. The meeting on Cabinet considered a report on the Habitat Regulations Assessment and Integrated Sustainability Assessment on the 29th January 2024. At this meeting, the need to undertake a further consultation on these documents was considered. This further consultation specifically on these documents and the focused changes to their content reflects matters of evidence in relation to the issues relating to phosphates in protected rivers and procedural matters and regulatory compliance. Following this consultation, the Revised LDP will be submitted to the Welsh Government for examination.

CRR190057/006 – Joint evidence has been prepared regionally with the dual benefit of supporting the preparation to a future Strategic Development Plan but also informing reviews of the LDPs across the region. This evidence has included a regional Strategic Flood Consequences Assessment, Defining the extent of the National Growth Area for Swansea Bay and Llanelli as well as Nutrient Credit Trading Feasibility Study.

CRR190057/002 – Annual Monitoring Report for 2022/23 in relation to the Adopted LDP was submitted to the Welsh Government by the 31st October deadline.



Risk Ref	Risk Title	Assigned To			
CRR190018	Failure to deliver a quality Education Service	Director of Education & Children Services			
Control Measures		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190018/003	Raise standards at each key stage	Head of Education and Inclusion	Significant 16	High 12	
CRR190018/004	Support schools to develop and deliver new curriculum	Head of Education and Inclusion / Head of Curriculum and Wellbeing		Substantial Possible	
CRR190018/005	Support schools to implement ALN reform	Head of Education and Inclusion			
CRR190018/007	Provide appropriate support for vulnerable learners - ALN, LAC, EAL, Travellers, e-FSM	Head of Education and Inclusion			
CRR190018/008	Manage the 21st Century School Programme and reduce the number of surplus places with the schools system	Head of Access to Education			
Action Items					

- Departmental Review for CMT February 2024 Update

The risk rating remains High 12 (the Impact remains Substantial 4, and possibility is now Possible 3), as increased in October 2023. 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. The Budget Consultation process has restarted and will be reflected in the Risk score on conclusion of this process in February 2024.

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, we will continue to monitor wellbeing issues in schools amongst the children and staff which has been a concern following the lockdown period. Attendance in our schools also remains below the Welsh average. This may be linked to the difficulties arising from the pandemic. Attendance at the start of the new term has improved for most schools and overall, compared to 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.

Standards at each key stage remain high but slightly below pre COVID benchmarks. 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.

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.

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.

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.

The Modernising Education Programme MEP is currently undertaking a review in order to re invigorate the 21st Century School Programme. The revised MEP Strategy has now been agreed by Cabinet as will go out to consultation asap.

The Department was inspected by Estyn during July 2023. We believe we have produced a robust Service Evaluation Report which coupled with any recommendations from the inspection will give us a Development Plan going forward to allow us to continue to deliver a quality Education Service. The inspection report is due later in September 2023 and this external view of our services will be used to review the risk rating and commentary in the next update.

Estyn concluded that Carmarthenshire's education services are led robustly by senior leaders and elected members, who share a clear vision for education within the authority. This is supported by an open and positive culture and self evaluation and improvement planning processes that are rigorous, on the whole. Through this, leaders have a positive effect on improving education provision and learners' outcomes in most of their areas of responsibility and are able to set a clear direction for further improvement in the future.

The authority has productive working relationships with schools and other providers. This contributes beneficially towards ensuring that new initiatives, changes in provision and sharing of ideas happen jointly, in partnership.

Over time, the inspection outcomes of schools in Carmarthenshire vary, although more recently, since 2022, the proportion requiring follow up activity by Estyn has decreased.



Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

- Financial position updated February 2024

Draft budget plans reduce school budgets by £2.454m.



Risk Ref	Risk Title	Assigned To	Control Measures	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
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 Audit Wales)	Head of Revenues & Financial Compliance/Director of Corporate Services					
CRR190027/001	Anti-Fraud & Anti-Corruption Strategy	Head of Revenues & Financial Compliance/Director of Corporate Services			Significant 20	High 12	
CRR190027/002	Whistleblowing Policy	Head of Revenues & Financial Compliance/Director of Corporate Services				Substantial Possible	
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					
CRR190027/005	Participation in the National Fraud Initiative Exercise	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					
CRR190027/007	Counter Fraud proficiency within the Internal Audit Team	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					
CRR190027/009	CRR190027/0009 Financial controls in place to mitigate fraud	Head of Revenues & Financial Compliance/Director of Corporate Services					
CRR190027/010	CRR190027/0010 Fraud is specifically included in the Internal Audit Plan	Head of Revenues & Financial Compliance/Director of Corporate Services					
Action Items							
Tudalen 152							

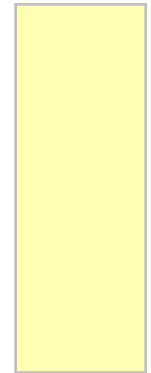
- Departmental Review for CMT
February 2024 Update

The Anti-Fraud & Anti-Corruption Strategy and the Financial Procedure Rules are available to staff via the Council's Intranet. The Anti-Fraud Strategy and Anti-Fraud message is actively promoted through various channels such as the staff newsletter and has recently been promoted again via the screensaver. The Financial Procedure Rules have been promoted via the staff weekly newsletter and on the front page of the Intranet.

The National Fraud Initiative (NFI), which is an exercise that matches electronic data within and between public and private sector bodies to prevent and detect fraud, has recently been undertaken.

A new Fraud e-learning training module has been developed, which is due to be rolled out imminently; completion of this e-learning module will be mandatory for all Council staff.

The Financial Procedure Rules for Schools document has been revised and is currently in draft format, awaiting approval through the appropriate Governance channels; once approved the document will be actively promoted across schools and the Authority.



Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Control Measures	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190009	Deliver Effective Safeguarding Arrangements - Children (Detail in separate Safeguarding Risk Register)	Head of Children Services					
CRR190009/002	Develop implement and regularly monitor effective safeguarding policies and procedures for Children's Services	Head of Children Services		Head of Children Services	Significant 25	High 10	
CRR190009/003	To have a sound procedure for professional abuse allegations effectively promptly and correctly			Head of Children Services		Catastrophic	
CRR190009/004	To respond appropriately to Regulators reports and recommendations			Head of Children Services		Unlikely	
CRR190009/005	To proactively monitor adequate procedures are being effectively operated by third party providers			Head of Children Services			
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 154

- Departmental Review for CMT February 2024 Update

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.

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 fulfill the local authority's corporate parenting responsibilities effectively.

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.

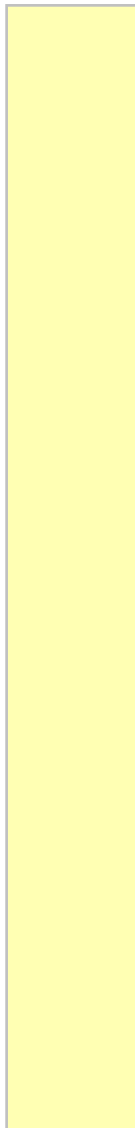
There is a sound procedure for professional abuse allegations to be dealt with effectively, promptly and correctly. We continue to ensure the regional threshold and multi agency child protection arrangements are working effectively.

We continue to contribute widely to the Regional Safeguarding Board and have representatives in most of their subgroups; this allows Children Services to share new policies, procedures and social work practice to the wider workforce in a timely manner. An example of our active involvement being that two senior managers are currently chairing child practice reviews within the region and therefore are able to bring the rich debates back to the service. Furthermore we continue to hold internal threshold meetings to consider whether we are consistently applying the threshold for S47 investigations, care and support assessments and early help. Internally we also ensure that we are meeting our national safeguarding standards by considering our data as a management group each quarter.

We continue to ensure that appropriate Safeguarding measures are included in all Third Party contracts.

Sexual Exploitation Risk Assessments (SERAFs) are regularly monitored via the Childrens Safeguarding Audit and Evaluation Group and the Multi Agency Operational Group.

Schools are required to undertake a School Safeguarding Review to identify effective practice and challenges. All schools have completed and submitted their reviews. All Safeguarding Training for schools is currently up to date and all within timescales including Governors' training. The current school leadership issue, see Risk CRR190028, could have an impact on safeguarding in schools. Therefore we have added a specific Safeguarding in schools Risk to the Department RR which will become a control measure within this Risk and which we may propose is escalated as a Risk in the Corporate Risk Register.



Risk Ref	Risk Title	Assigned To	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190078	Failure to address recent concerns regarding the presence of Reinforced Autoclaved Aerated Concrete (RAAC) in non-housing properties.	Head of Regeneration				
Control Measures						
CRR190078/002	Stock Condition Team inspections have been completed for all non-housing properties, revealing no RAAC except within one isolated building	Head of Regeneration		High 15	Medium 9	
CRR190078/003	A specialised contractor with expertise in working with RAAC has been engaged	Head of Regeneration			Significant Possible	
CRR190078/004	A specialist Structural Engineer has been commissioned to generate a comprehensive report identifying necessary remedial actions	Head of Regeneration				
CRR190078/001	Initial desktop inquiries have been conducted across our maintained property estate. Additional extensive surveying to be undertaken over next 3 months. Corporate RAAC Task & Finish group established to provide effective oversight of the investigation and management of Reinforced Autoclaved Aerated Concrete (RAAC) within the Council's building assets.	Head of Regeneration				
CRR190078/005	Temporary propping has been installed to alleviate structural risks during the production of the detailed report	Head of Regeneration				
Action Items						
	<ul style="list-style-type: none"> Departmental Review for CMT February 2024 Update <p>Extensive survey of buildings to be undertaken and RAAC management plan to be subsequently developed and implemented.</p>					

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To			
CRR190079	Managing Premises with emphasis of Fire Safety in the Hybrid working environment.	Head of Regeneration			
Control Measures		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190079/001	Identify staff regularly based at relevant venues to ensure continuity of fire warden cover	Head of Regeneration	High 15	Medium 9	
CRR190079/002	Provide appropriate training to additional staff identified	Head of Regeneration		Significant	
CRR190079/003	Review procedures for management	Head of Regeneration		Possible	
Action Items					
<ul style="list-style-type: none"> Departmental Review for CMT February 2024 Update <p>Heads of Service have been contacted requesting details of senior staff to provide adequate coverage for relevant areas of administrating buildings during opening hours. Deadline for return 31st January. Partial response received. Reminders to be issued with extended deadline of February 29th.</p> <p>Drafting of training documentation / online material underway.</p> <p>Review of PRPs, management plans and information management in progress. Confirmation of details of Senior Responsible Officers from Heads of Service will inform the management review and any training requirements in relation to the above.</p>					

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190023	Management and delivery of UK Government's Shared Prosperity Fund	Economic Development Manager				
Control Measures						
CRR190023/001	Corporate Funding Group with representations from all council services to ensure compliance and timely delivery.	Economic Development Manager		High 12	Medium 9	
CRR190023/002	Ongoing review of external funding opportunities emanating from all CCC services / business plans	Economic Development Manager			Significant Possible	
CRR190023/003	Follow guidance from and regular dialogue with UK Government and WLGA	Economic Development Manager				
CRR190023/004	Communications with communities and businesses	Economic Development Manager				
Action Items						
<ul style="list-style-type: none"> Departmental Review for CMT February 2024 Update <p>A dedicated Programme Management Office is now in place to monitor and evaluate the delivery of Carmarthenshire's £38.38m Shared Prosperity funds, 98% of the pot has already been committed to projects across the County. Regular reports are provided to the Regeneration Partnership and the Cabinet Member on progress.</p> <p>The Bureau works corporately across all departments, especially on the delivery of the authority's SPF funds. Officers from different departments have been also involved in the SPF project Assessment Panels, this is to ensure that expertise on appropriate areas can be drawn upon. The Corporate Funding Group meet regularly and information on new funds from external providers is disseminated.</p> <p>We are currently working closely with the WLGA to lobby UK Government for a successor programme for SPF. We have fed into a position paper compiled by the WLGA on what any future funding should look like, e.g. the importance of flexibility and localised decision making. We will also be making contact with English LAs in order to have a unified voice when lobbying Government.</p> <p>A dedicated Officer is now in place to communicate the successes of regeneration in the County.</p>						

Risk Ref	Risk Title	Assigned To	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190058	SAC Phosphate & NRW Interim Planning Advice	Director of Place & Infrastructure/Head of Place and Sustainability				
Control Measures						
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	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	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	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	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	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	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	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	Head of Place & Sustainability			
Action Items						

Tudalen 159

Risk Register - Carmarthenshire Corporate Risk Register

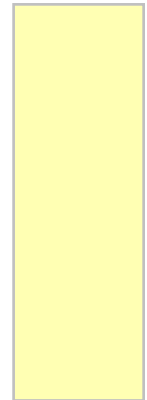
Manager

Corporate Management Team

- Departmental Review for CMT
January 2024 Update (Rhodri Griffiths/Ian Llewelyn)

CRR190058/002 – As part of NRW's wider Review of Permits for wastewater treatment works (WwTW) in phosphorus sensitive Special Area of Conservation (SAC) river catchments, updated permits are being issued for WwTWs which where appropriate include a total phosphorus limit reduction. These may have implications on the potential headroom for development to take place which discharges into a particular treatment works. We are monitoring the implications of the review of permits on pending and future planning applications as well as allocations within the Revised LDP.

CRR190058/003, 007 and 008 – The latest meeting of the Nutrient Management Board (NMB) took place on the 16th October. This has been followed by subsequent meetings of the Nutrient Stakeholder group on the 31st January and the Technical Advisory Group on the 17th January. Subsequent meetings of the NMB and the TAG are scheduled for the 5th June and 22nd May respectively. The Phosphate webpage has been refreshed and updated to explain the nature of the Review of Permits and the implications of any changes on the calculations in phosphate loading on development proposals.



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		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190060/001	Main server and backup server at different sites	Head of ICT & Policy	Significant 20	Medium 8	
CRR190060/002	Microsoft database SQL expertise in IT department	Head of ICT & Policy		Substantial Unlikely	
CRR190060/003	Frequent DR testing to simulate different loss of availability scenarios	Head of ICT & Policy			
CRR190060/004	Two data centres located in Ammanford and Carmarthen, benefiting from independent power supply. Each data centre has the capacity to accommodate all systems independently of the other if required.	Head of ICT & Policy			
CRR190060/005	UPS (uninterruptable power supply) and generator backup power supply options at both locations.	Head of ICT & Policy			
CRR190060/006	Remote workers can access internal critical systems via two internet connections which will also work independently if one is lost.	Head of ICT & Policy			
CRR190060/007	Key network components facilitating connectivity to critical systems are configured in high availability (HA) mode for redundancy.	Head of ICT & Policy			
Action Items					
<ul style="list-style-type: none"> Departmental Review for CMT February 2024 Update <p>This risk remains at substantial. We continue to work on cloud migrations, disaster recovery, and have two data centres located in 3 Spilman Street and Ty Parcyrhun. We have a DR plan schedule for 2024 where we will test core infrastructure at each site to ensure there is resiliency.</p>					

Tudalen 161

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Control Measures	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190010	Deliver Effective Safeguarding Arrangements – Adults at Risk	Director of Communities					
CRR190010/001	Representation at the Regional Board	Director of Communities			Significant	Medium	
CRR190010/002	Implementing effective safeguarding policies and procedures for adults at risk	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							
<ul style="list-style-type: none"> Departmental Review for CMT February 2024 Update <p>There are currently no areas of risk or concern in relation to adult safeguarding. It has been decided however, that this risk remains on the Corporate Risk Register for discussion and review following the Audit Wales report. The corporate safeguarding policy has been reviewed and presented to Cabinet, an action plan to respond to the audit and several actions have already been completed. . A mandatory programme of training is being rolled out across the Council. Compliance with the action plan will be monitored via the Corporate Safeguarding Group.</p>							

Tudalen 162

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		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190022/001	Governance arrangements incl management and Councillor representation on Shareholder/Governance Boards	Corporate Management Team	Significant 16	Medium 8	
CRR190022/002	Compliance with Companies Act and relevant legislation	Corporate Management Team		Substantial Unlikely	
CRR190022/003	Financial Planning Financial Reporting arrangements Audit programme	Corporate Management Team			
CRR190022/004	Training to be arranged for Directors	Corporate Management Team			
Action Items					
<ul style="list-style-type: none"> Departmental Review for CMT February 2024 Update <p>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 during the last year and the outcome was that this would be incorporated into the review being led by Linda Rees Jones.</p>					

Risk Ref	Risk Title	Assigned To			
CRR190007	Ensuring effective management of Procurement / Contract Management and Partnership arrangements	Head of Revenues & Financial Compliance			
Control Measures		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190007/002	Participation in the WLGA Heads of Procurement Forum	Head of Revenues & Financial Compliance	Significant 16	Medium 8	
CRR190007/003	Procurement strategy - this was updated and endorsed by CMT in July 2023	Head of Revenues & Financial Compliance		Substantial Unlikely	
CRR190007/005	TIC Expenditure Stream	Head of Revenues & Financial Compliance			
CRR190007/006	Economic Recovery Plan / Progressive procurement approach - agreed and signed off by CMT, P&R, Scrutiny and Cabinet	Head of Revenues & Financial Compliance			
Action Items					
<ul style="list-style-type: none"> Financial position updated February 2024 2024- 25 budget increased resources for Place & infrastructure Department. Departmental Review for CMT February 2024 Update <p>The Procurement Strategy was approved by Cabinet on the 11th December 2023 and has been uploaded onto the Procurement pages of the intranet. The Corporate Procurement Unit (CPU) continues to assist lead officers to develop performance measures from a set of typical KPIs for their specification documents during the tender process. Following contract award, CPU have no further involvement in the management of KPIs, although Principal Procurement Officers will provide advice and guidance occasionally when contractual issues arise.</p>					

Risk Ref	Risk Title	Assigned To			
CRR190012	Failure to adhere to an effective Corporate Governance Framework	Head of Revenues & Financial Compliance			
Control Measures		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190012/001	Corporate Governance Group	Head of Revenues & Financial Compliance	Significant 16	Medium 8	
CRR190012/003	Annual Governance Statement	Head of Revenues & Financial Compliance		Substantial Unlikely	
Action Items					
<ul style="list-style-type: none"> Departmental Review for CMT February 2024 Update <p>Corporate Governance Group continues to meet on a quarterly basis and minutes of the Corporate Governance Group are reported to the Governance and Audit Committee. The Governance and Audit Committee is a key component of Corporate Governance. The Annual Governance Statement actions are now included in the Annual Report for 2022.23.</p>					

Risk Ref	Risk Title	Assigned To	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
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						
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 20	Medium 6	
CRR190063/003	Protocol to be developed covering applications for major development projects (schemes above 10 residential units or 1,000 m ² 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 Possible	
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 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				
Action Items						
	<ul style="list-style-type: none"> Departmental Review for CMT January 2024 Update (Rhodri Griffiths/ Hugh Towns) <p>The Authority is actively seeking Planning Performance Agreements to ensure major development is delivered in a timely manner. We currently have 30 major applications under consideration (20 for major housing schemes and 10 for major non housing projects). 3 are awaiting S106 Agreements being completed. 17 have been received 2023 and 1 in 2024. In 2023 we determined 23 applications.</p> <p>All control measures are in place.</p> <p>This risk arose from the Audit Wales Review of Planning Services (July 2021) and the recommendation that the Council should align its planning service to its corporate ambitions to ensure it can respond effectively to deal with its regeneration ambitions and can deliver them at pace.</p> <p>The follow-up Review (October 2022) found that the Council's planning service is now focussed on helping the Council to deliver on its corporate agenda. It has a clearer strategic approach to major projects and a clearer focus on prioritising projects that deliver jobs and growth to support the Council's economic recovery plan.</p>					

Tudalen 166

Risk Ref	Risk Title	Assigned To			
CRR190043	Loss of income and increased costs – Financial Implications	Director of Corporate Services/Head of Financial Services/Head of Revenues & Financial Compliance			
Control Measures		Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 14/11/2023
CRR190043/001	Recovery of Council Tax & NNDR	Director of Corporate Services/Head of Financial Services/Head of Revenues & Financial Compliance	Significant 25	Medium 6	
CRR190043/002	Recovery of Housing Rent	Director of Corporate Services/Head of Financial Services/Head of Revenues & Financial Compliance		Moderate Possible	
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 &			
Action Items					
Departmental Review for CMT February 2024 Update 2024 25 budget includes funding to cover income gap on car parks. The Leisure issue is gone, the car park issue is ongoing but we have provided for through a growth pressure so it is mitigated on a permanent basis. Situation to be closely monitored and consideration given to de-escalation from the Corporate Risk Register to the Departmental Risk Register moving forward.					

Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Control Measures	Control Owner	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating since 02/12/2023
CRR190080	Corporate Safeguarding Failure to ensure that adequate Corporate Safeguarding arrangements are in place	Director of Communities					
CRR190080/001	Full implementation of Audit Wales Action Plan	Director of Communities			Significant 25	High 10	
CRR190080/002	Corporate Safeguarding Policy	Director of Communities				Catastrophic	
CRR190080/003	Corporate Safeguarding Group	Director of Communities				Unlikely	
CRR190080/004	DBS Guidance Document	Director of Communities					
CRR190080/005	Safer Recruitment Policy	Director of Communities					
CRR190080/006	Ex Offenders Policy	Director of Communities					
CRR190080/007	Volunteering Policy	Director of Communities					
CRR190080/008	Safeguarding Training	Director of Communities					
CRR190080/009	Annual Internal Audit Reviews	Director of Communities					
Action Items							
<ul style="list-style-type: none"> Departmental Review for CMT February 2024 Update <p>New Risk for inclusion on the Corporate Risk Register.</p>							

Mae'r dudalen hon yn wag yn fwiadol

CORPORATE RISK REGISTER IMPACT GRID

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

STRATEGIC RISK REGISTER PROBABILITY GRID

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

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

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

Mae'r dudalen hon yn wag yn fwiadol

Y PWYLLGOR LLYWODRAETHU AC ARCHWILIO
8 MAWRTH 2024

ÔL-DDYLEDION RHENT TAI

Y Pwrpas:

Mae'r adroddiad yn nodi cyd-destun a manylion ôl-ddyledion tenantiaid presennol Tai Cymdeithasol Cyngor Sir Caerfyrddin.

Mae'n nodi maint y gwasanaeth o ran casglu rhent, sut yr ydym wedi llwyddo i reoli ôl-ddyledion rhent bob blwyddyn, y gefnogaeth yr ydym wedi'i rhoi ar waith a'r effaith y mae hyn yn ei chael ar Gynllun Busnes cyffredinol y Cyfrif Refeniw Tai.

Yr Argymhellion / Penderfyniadau Allweddol Sydd Eu Hangen:

Pwyllgor Llywodraethu ac Archwilio i wneud sylwadau ar gynnwys yr adroddiad.

Y Rhesymau:

Gofynnodd y Pwyllgor Llywodraethu ac Archwilio am yr adroddiad ynghylch lefel ôl-ddyledion tenantiaid presennol mewn cyfarfod blaenorol.

Angen i'r Cabinet wneud penderfyniad NAC OES

Angen i'r Cyngor wneud penderfyniad NAC OES

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

Y Cynghorydd Linda Evans (Deiliaid y Portffolio Tai a Dirprwy Arweinydd)

Y Gyfarwyddiaeth:

Cymunedau

Enw Pennaeth y Gwasanaeth:

Jonathan Morgan

Awdur yr Adroddiad:

Steven Jones

Gareth Williams

Swyddi:

**Pennaeth Tai a Diogelu'r
Cyhoedd**

Arweinydd Rheoli Tai

Rheolwr y Gwasanaethau Tai

Cyfeiriadau E-bost:

Jmorgan@sirgar.gov.uk

stjones@sirgar.gov.uk

gajwilliams@sirgar.gov.uk

EXECUTIVE SUMMARY

HOUSING RENT ARREARS

Context

The Housing Management Service is responsible for:

- **9,333** Dwellings spread amongst **767** Housing Estates;
- **387** Blocks of flats and **21** Sheltered Schemes;
- Over **1400** garage plots and bases; and
- Collecting over **£49m** (23/24) in annual rent.

The effective management and collection of rent income from the Council's Housing stock is a vital factor in maintaining and delivering the HRA Business Plan.

The level of Current Tenant Arrears should also be considered in the wider economic and social context. There have been several country wide factors that have influenced the collection of rent and the level of arrears. These are:

- Covid 19 Pandemic which resulted in an embargo on any enforcement activity that would result in homelessness;
- Cost of Living Crisis and other economic pressures;
- Welfare reform and the continuation of the roll out of Universal Credit; and
- Welsh Government Action Plan to reduce homelessness.

All the above has had an impact not just for Carmarthenshire but all Local Authorities in Wales.

Rent Increase

Each year as part of the HRA Business Plan we consider increasing the rent in line with WG recommendations if the Consumer Price Index at September sits outside the prescribed limit. WG have set the maximum rent increase for 24/25 at 6.7% because the Consumer Price Index(CPI) sat outside the 3% threshold (6.7% September 2023).

We have limited the rental increase to **6.5%** overall with a maximum £1 progression for those tenancies below target rent. Most tenants will receive a **6.39%** average rent increase which is below the level set by WG and current inflation values.

Table 1

Year on Year Rent Increase (since 2020)			
Year	Average % Increase (with progression)	Weekly Rental charge Increase (£)	Rent Envelope Increase (£),000
2020-2021	2.43	2.63	406
2021-2022	1.27	1.79	856
2022-2023	2.74	2.47	1,578
2023- 24	5.36	5.00	2,781
2024-2025	6.39	6.42	3,125

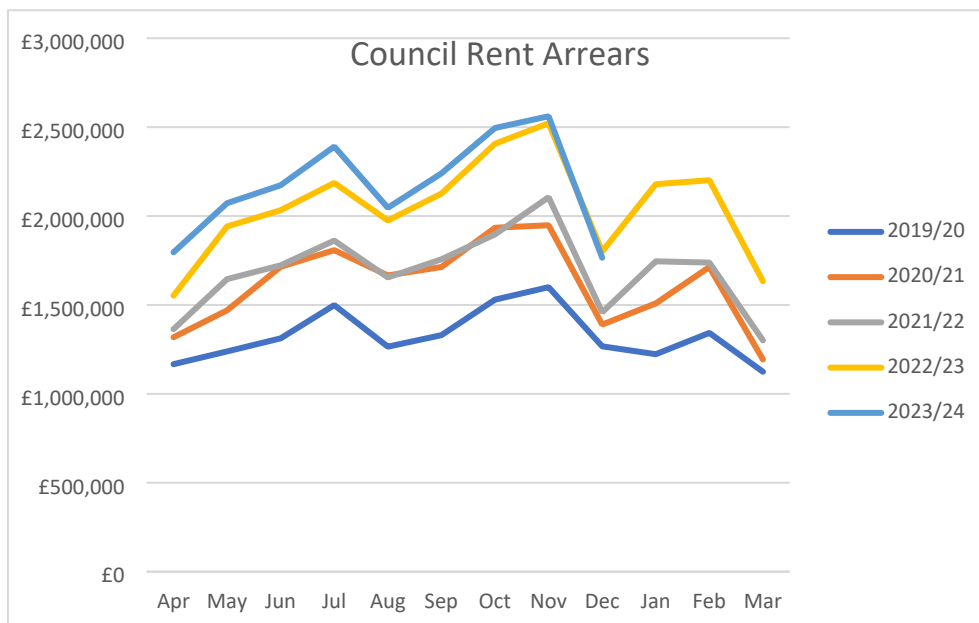
Table 2

HOUSING RENTS 2023/24		
BEDS	Houses / Bungalows	Flats / Maisonettes
Bedsit	£77.77	
1	£96.71	£87.47
2	£107.45	£97.23
3	£118.18	£106.93
4	£128.92	£116.67
5	£139.69	-

Current Rent Arrears

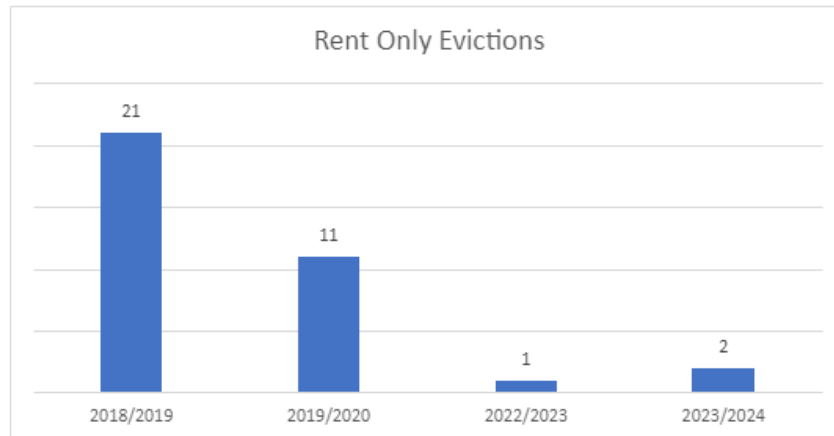
The graph below shows the current tenant debt year on year. This is a cumulative debt from the time each tenancy started and not an in-year debt.

Graph 1



- 4,500 (circa) tenants have the equivalent to one months' worth of debt because they pay their rent in arrears and 3,500 (circa) tenants pay in advance either in full or part;
- Arrears levels at the end of quarter 3 2023/2024 were £35,000 less than at the equivalent period for 2022/2023;
- At the end of week 46 of this year the total arrears were £98,000 less than at the equivalent period for 2023/2024; and
- We are currently predicting (assuming trends remain comparative to previous years) an end of year figure of between £1.5m and 1.6m which is a reduction from the previous year.

Enforcement Action & Evictions



- The level of evictions for rent arrears only has considerably decreased since 2019/20 and there have been no evictions due to financial hardship since 2020;
- Currently there are 419 under notice for rent arrears (where affordability is not the primary cause), 14 due to progress to court and 1 case where possession has been granted.
- The decision to evict is not taken lightly and consideration has to be given to the impact it has on Homelessness as legislation may require us to place into temporary accommodation.

Support

Providing support and assistance is considered the most effective way to maximise income, sustain tenancies and manage the overall debt. Rent accounts are managed weekly and intervention is put in place quickly where accounts begin to suffer or tenants fall behind with their rent. The table below shows the level of pre tenancy support that has been put in place to help maximise income.

Category	Total Value (£)	Cases
Pre-Tenancy Benefits: AA, CTAX, Help U, Pension Credit etc.	326,841	502
Pre-Tenancy DHP: Bedroom Tax, Dual HB, Removals, Arrears etc.	18,309	59
Pre-Tenancy Grants: DAF, Hardship & cost of living grants etc.	197,669	327
Pre-Tenancy: Prevention fund (HRA and WG Grant)	52,441	147
Total	595,260	1035

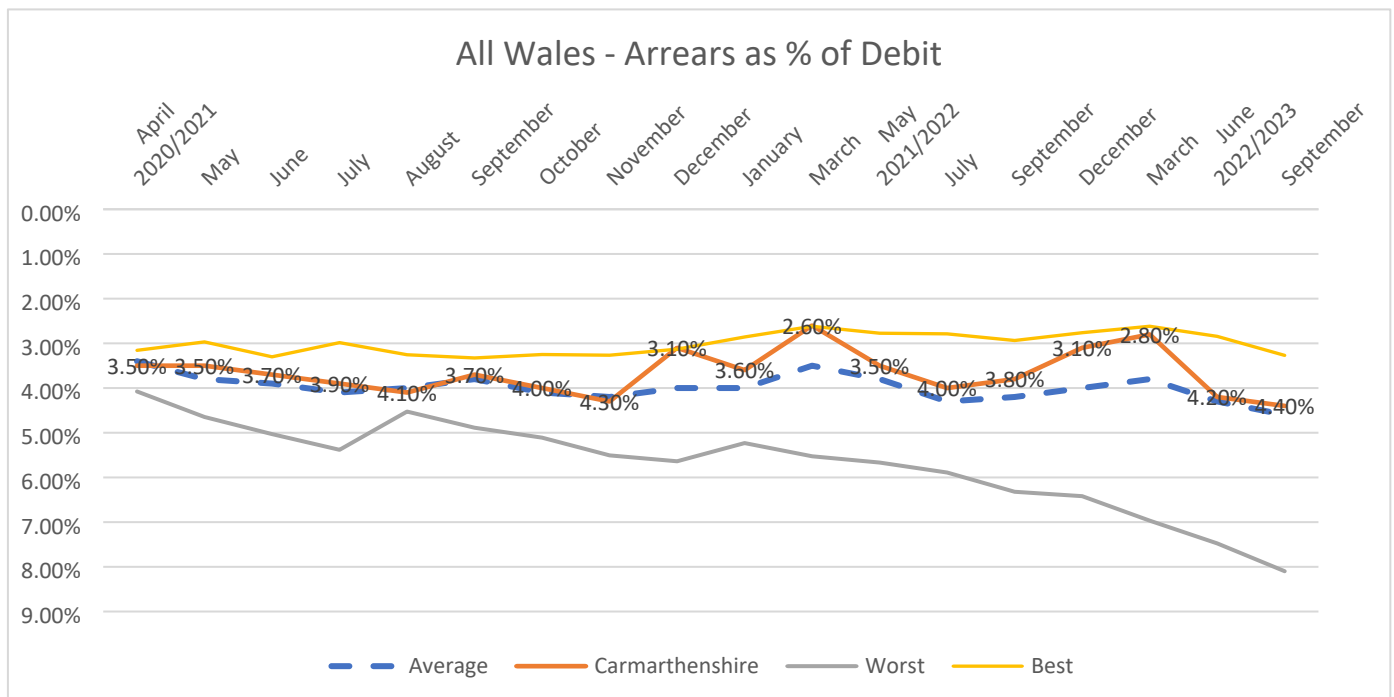
- To date this financial year (01/04/23 -14/02/24), we can show that through assistance we have increased over 1000 household incomes by £595,260 at the start of tenancy;
- This support is carried out throughout the tenancy by the Housing Officers based on an individual basis and tenants' current circumstances; and
- We are currently working on a recording database to accurately show amount of support and financial savings to our tenants, the Housing Officers activity is creating.

National (Wales) Comparison

The graph below shows how we compare to other stock retaining authorities in Wales on the current arrears as a percentage of the overall debit i.e. rent envelope.

The data is only available up to September 2022/23 when WG stopped collecting the information and provided as public information.

Graph 2



As can be seen from the table Carmarthenshire perform under the Welsh average and are amongst the best stock retaining authorities in terms of their collection rates. By the end of 2023/24 we anticipate our collection rate to be higher than previous year and the % of arrears against the debit to be close to 3%.

A reason for the fluctuation in ours compared to other LAs may be because we collect rent over a 48 week period and have four non collection weeks and some months would have 5 weeks and we only collect for four of those weeks. Also our figures are taken after the 28th of every month, this may differ in other stock retaining authorities for reporting purposes.

Impact on HRA

There has been no significant impact on the HRA year on year as a result of rent arrears and our ability to deliver against our revenue and capital commitments.

DETAILED REPORT ATTACHED?

NO

IMPLICATIONS

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

Signed: Jonathan Morgan Head of Housing & Public Protection

Policy, Crime & Disorder and Equalities	Legal	Finance	ICT	Risk Management Issues	Staffing Implications	Physical Assets	Bio-diversity & Climate Change
NONE	NONE	YES	NONE	NONE	NONE	YES	NONE

1. Finance

Managing income and current tenant debt is critical in maintaining a healthy, balanced and sustainable HRA budget. It has a significant impact on the 30-year business plan and how we investment in front line services and our capital housing programmes.

Our ability to help manage individual contract holders debt helps them maintain their tenancies, support their wellbeing and comfort as well as reduce pressures on front line homelessness services where tenancies fail and subsequently Council Fund budgets.

6. Physical Assets

Failure to collect rent means that we have less scope to invest in current tenant homes, improve the condition of our housing stock, expand our housing development programme and invest in front line housing services that'll prevent deterioration of our asset.

Mae'r dudalen hon yn wag yn fwriadol

**PWYLLGOR LLYWODRAETHU AC ARCHWILIO
8 MAWRTH 2024**

**LOG GWEITHREDU'R PWYLLGOR LLYWODRAETHU AC
ARCHWILIO**

Yr Argymhellion / Penderfyniadau Allweddol Sydd Eu Hangen:

I dderbyn yr adroddiad.

Y Rhesymau:

Log Gweithredu i hysbysu'r Aelodau o'r camau gweithredu i'w symud ymlaen yn dilyn cyfarfodydd blaenorol.

Ymgynghorwyd â'r pwyllgor craffu perthnasol: NADDO

Angen i'r Cabinet wneud penderfyniad: NAC OES

Angen i'r Cyngor wneud penderfyniad: NAC OES

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

Cyng. A Lenny

Y Gyfarwyddiaeth:

Gwasanathau Corfforaethol

Enw Pennaeth y

Gwasanaeth:

Helen Pugh

Swyddi:

Pennaeth Refeniw a
Chydymffurfio Ariannol

Rhif ffôn: 01267 246223

Cyfeiriad e-bost:

HLPugh@sirgar.gov.uk

Awdur yr Adroddiad:

Caroline Powell

Prif Archwilydd

CaPowell@sirgar.gov.uk

EXECUTIVE SUMMARY

GOVERNANCE & AUDIT COMMITTEE ACTION LOG

Action Log to inform Members of the actions to be progressed following previous meetings.

DETAILED REPORT ATTACHED?	YES
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IMPLICATIONS

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

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

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

CONSULTATIONS

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

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

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

CABINET PORTFOLIO HOLDER(S)
AWARE/CONSULTED: 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

Governance & Audit Committee - Action Log

Reference	Meeting Date	ACTION	PROGRESS	Responsible Officer(s)	Status
GAC - 2023/06	29/09/2023	Internal Audit Report - Safeguarding: the Committee requested that a follow up review be undertaken as part of the 2024/25 Internal Audit plan.	Review to be included on the 2024/25 Internal Audit plan; Final Report to be brought back to the Committee when complete (target: September 2024)	Principal Auditor	Due September 2024
GAC - 2023/07	29/09/2023	Internal Audit Report - Welfare Cards: the Committee requested that a follow up review be undertaken as part of the 2024/25 Internal Audit plan.	Review to be included on the 2024/25 Internal Audit plan; Final Report to be brought back to the Committee when complete (target: September 2024)	Principal Auditor	Due September 2024
GAC - 2023/09	27/10/2023	Tenant Housing Arrears: a report be brought to a future meeting of the Governance and Audit Committee setting out the Authority's management of tenant housing arrears.	Report to be brought by the Head of Housing & Public Protection to the Committee meeting on 8 March 2024.	Head of Housing & Public Protection	Complete 08.03.2024
GAC - 2023/10	27/10/2023	Information be circulated to the Committee pertaining to the risk rating applicable for premises within the Authority's responsibility for listed buildings or ancient monuments.	Information to be provided to the Committee members.	Head of Revenues & Financial Compliance	Update due to be provided

Mae'r dudalen hon yn wag yn fwiadol

**PWYLLGOR LLYWODRAETHU AC ARCHWILIO
8 MAWRTH 2024**

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

EXECUTIVE SUMMARY

GOVERNANCE & AUDIT COMMITTEE FORWARD WORK PROGRAMME

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

The following Report is attached:
Forward Work Programme

DETAILED REPORT ATTACHED?

YES

IMPLICATIONS

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

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

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

CONSULTATIONS

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

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

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

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

THERE ARE NONE

Mae'r dudalen hon yn wag yn fwriadol

Forward Work Programme: Governance & Audit Committee Cycle March 2024 - February 2025

Area	March 2024	July 2024	September 2024	December 2024	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: Use of Performance Information and Follow-up Review of Corporate Arrangements for Safeguarding				
	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				
Financial	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		

Tudalen 193

		Audit Enquiries to those charged with governance for CCC and DPF	
Counter Fraud		Annual Anti-Fraud and Anti-Corruption Report	Approval of Anti-Fraud and Anti-Corruption Strategy
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 (2023/24)	
		Ombudsman Letter	
		Carmarthenshire County Council Annual Report	
Strategies and Policies			Approval of Internal Audit Charter (Every 2 years; due July 2025)
			Approval of Financial Procedure Rules
			Approval of Contract Procedure Rules
Progress updates requested by the Committee	Tenant Housing Arrears Report		

	Spring 2024	Summer 2024	Autumn 2024	Winter 2024
Training Tudalen 194				
		Statement of Accounts & Annual Governance Statement		
			Meeting with the Auditors	

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

**PWYLLGOR LLYWODRAETHU AC ARCHWILIO
8 MAWRTH 2024**

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

Yr Argymhellion / Penderfyniadau Allweddol Sydd Eu Hangen:

I dderbyn y cofnodion.

Y Rhesymau:

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

Ymgynghorwyd â'r pwyllgor craffu perthnasol: NADDO

Angen i'r Cabinet wneud penderfyniad: NAC OES

Angen i'r Cyngor wneud penderfyniad: NAC OES

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

Cyng. A Lenny

Y Gyfarwyddiaeth:

Gwasanathau Corfforaethol

Enw Pennaeth y

Gwasanaeth:

Helen Pugh

Swyddi:

Pennaeth Refeniw a
Chydymffurfio Ariannol

Rhif ffôn: 01267 246223

Cyfeiriad e-bost:

HLPugh@sirgar.gov.uk

Awdur yr Adroddiad:

Helen Pugh

EXECUTIVE SUMMARY

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
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IMPLICATIONS

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

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

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

CONSULTATIONS

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

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

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

CABINET MEMBER PORTFOLIO HOLDER AWARE/CONSULTED? No	
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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

MINUTES OF THE GRANTS PANEL MEETING HELD ON 2nd OCTOBER 2023 VIA TEAMS		
PRESENT:	Randal Hemingway, Head of Financial Services Caroline Powell, Principal Auditor, Internal Audit (IA) Nia Thomas, Chair of PWG, Education & Children (Revenue) Les James, Chair of PWG, Communities Adrian Harries, Chair of PWG, Environment Rhian Phillips, Economic Development Area Manager Eleanor Ansell, Audit Lead, Audit Wales Delyth Thomas, Grants Compliance Officer (GCO)	
APOLOGIES:	Stuart Walters, Chair of PWG, Chief Executive Simon Davies, Chair of PWG, Education & Children (Capital)	
	SUBJECT	ACTION
1.0	<p><u>Minutes of the last meeting</u></p> <ul style="list-style-type: none"> Minutes were agreed. 	
2.0	<p><u>Matters Arising</u></p> <ul style="list-style-type: none"> The Director of Corporate Services has confirmed that there are ongoing discussions regarding the role of SASG in the allocation of funding to projects via the capital programme. Welsh Government (WG) is currently looking at standardising the formula for the allocation of funding to schools for the Education Improvement grant (EIG) for 2024/25 which is part of the Regional Consortia Schools Improvement grant (RCSIG). The impact of the change is uncertain. Audit Wales to confirm if the Audit Wales Central Team will be issuing a grant index for the 2022/2023 audits. If not, then confirmation of the audit submission dates and audit deadlines will be sent to GCO via email. A meeting has been arranged to establish which grants will be included in the IA audit plan for 2024/25. Guidance has been received from WG on the implications of the delay in settling the Soulbury pay award and the impact on grant funded projects. The Authority can claim the back pay relating to the 2 outstanding years in the one financial year grant claim, however this could result in an overspend against the approved budget which may deem the excess ineligible. Should this be the case the 	<p>EA</p> <p>RH/CP/DT</p>

	SUBJECT	ACTION
	<p>Authority may need to fund the balance. It is noted the Soulbury pay award has yet to be settled.</p> <ul style="list-style-type: none"> • An update was provided in the last meeting on European funded projects that were due to end from July 2023 onwards. Since the meeting the Celtic Routes project had been given a month's extension to 30/9/2023. • The Director of Corporate Services has raised via CMT that the impact on other departments needs to be considered along with the cost benefit of small grants when applying for funding. 	
3.0	<p><u>Audit Wales - Update</u></p> <ul style="list-style-type: none"> • As part of the 2022/23 audit programme NDR3 (LA01) and Teachers Pension (PEN05) – audits are underway and on target to be completed by the audit deadline date. The audit of the remainder of the grants will be programmed later in the year as and when resources are available. These include: <ul style="list-style-type: none"> ○ Housing Benefits (BEN01) - return submitted ○ Pooled Budgets (HLG01) - return submitted ○ WANLESS Money Transfers (HLG03) – to be submitted as soon as possible 	
4.0	<p><u>Internal Audit (IA) - Update</u></p> <ul style="list-style-type: none"> • An update was provided on the audits of the 2022/23 grant funded projects: <ul style="list-style-type: none"> ○ Pupil Development grant and Education Improvement grant (under RCSIG) have been completed ○ There are a few outstanding queries to be resolved on Housing Support Grant. An extension to the audit deadline date has been agreed ○ The audit of Children & Communities grant has been completed and the audit of the Local Education grant is underway 	

	SUBJECT	ACTION
5.0	<p><u>Grants Register 2023/24</u></p> <ul style="list-style-type: none"> The draft grants register for 2023/24 was presented to the meeting. A request was made to the Chairs of the PWGs to review to assure that all grants received in their respective departments are listed. 	Chairs PWGs
6.0	<p><u>Project Working Groups</u></p> <ul style="list-style-type: none"> Minutes of PWG meetings were received: <ul style="list-style-type: none"> Education & Children (capital): 25/7/2023 Communities: 26/7/2023 Chief Executive: 24/1/2023, 21/3/2023, 25/7/2023 Clarification was sought on the use Docusign on internal documents. The Head of Financial Services confirmed that there is no requirement to use Docusign on internal documents. It was also confirmed that Docusign needs to be utilised for grant agreements with third parties. The number of children receiving free school meals has an impact on grant funding for schools. This has been publicised and requests have been made to parents in receipt of the School Essential grant to complete applications for free school meals to maximise the grant available. Concerns have been raised on the governance arrangements in place for schools who apply and accept capital grants. Discussions need to be undertaken with the relevant officers within Education and Property Services to agree the deliverability of the project and the impact on other works to be undertaken at the school. Whether it changes the school capacity also needs to be considered. 	
7.0	<p><u>European Grants Update</u></p> <ul style="list-style-type: none"> The current programme of European funded projects is due to end in December 2023. The projects ending in October 2023 are: 	

	SUBJECT	ACTION
	<ul style="list-style-type: none"> ○ Communities for Work P1 & P3 ○ Regional Engagement Team ERDF & ESF ● A full list of projects including total project spend and grant received to be presented in the next Grants Panel meeting. 	DT
8.0	<p><u>Successor Schemes Update</u></p> <ul style="list-style-type: none"> ● It has been confirmed that following Cabinet approvals 99% of the grant allocated through Shared Prosperity Fund (SPF) has now been committed. There is a tight turnaround to deliver all projects as most will end in December 2024 with the whole program ending March 2025. ● There are 5 anchors funded via SPF which are mainly delivering third party grants. There are also some projects that the Authority will be delivering internally. ● Approval has been awarded for 18 strategic projects through SPF. There are 6 projects to be delivered internally by the Authority with 12 projects being delivered externally. For one of the 12 projects Carmarthenshire will be delivering in partnership with the lead organisation. ● Ongoing monitoring is being undertaken of all the projects funded via SPF with a review at the end of the financial year to assess project spend. Where projects are not forecast to spend then there is a risk that the grant will be decommitted. ● Confirmation to be sought on what audit requirements are in place for SPF. ● The Towy Valley Path project funded via the Levelling Up Fund (LUF) has been awarded a year's extension due to delays in acquiring the land to build the path. ● The construction costs for the Carmarthenshire Hwb, which is funded by LUF, has significantly increased. The costs associated with the NHS element of the project has also increased and is also looking for 	RP

	SUBJECT	ACTION
	<p>additional grant funding to meet the shortfall. Consideration also must be given to the future operational cost of running the Hwb.</p> <ul style="list-style-type: none"> The UK Government are currently undertaking a deep dive audit on both the Towy Valley Path and Carmarthenshire Hwb projects. The audit looks at various strategies and policies of the Authority e.g. procurement, risk. These will be reviewed ahead of carrying out more detailed checks. 	
9.0	<p><u>AOB</u></p> <ul style="list-style-type: none"> Grants Management training to be rolled out for new project officers. The impact of the Public Subsidy requirements for grant funded schemes to be considered on a corporate basis. This to be included on the agenda at the next Grants Panel meeting. An officer from Legal Services to be invited. There is a possibility that some of the current WG funded grants could be incorporated into the Revenue Support Grant from 2024/25. 	RP
10.0	<ul style="list-style-type: none"> Date of next meeting – 19th February 2024 at 2pm via Teams 	

Mae'r dudalen hon yn wag yn fwriadol

PWYLLGOR LLYWODRAETHU AC ARCHWILIO**DYDD GWENER, 15 RHAGFYR 2023****PRESENNOL** Cynghorydd D. MacGregor (Cadeirydd)**Cynghorwyr (Yn y Siambr):**

A.G. Morgan

Cynghorwyr (Yn rhithwir):

K.V. Broom

K. Davies

A. Evans

P.T. Warlow

D.E. Williams

J. Williams

Aelodau Lleyg (Yn y Siambr):

J. James

K. Jones

M. McDonald

Hefyn yn bresennol (Yn y Siambr)

E. Ansell – Cynrychiolydd Archwilio Cymru

D. Owen – Cynrychiolydd Archwilio Cymru

Hefyd yn bresennol (Yn rhithwir)

A. Lewis – Cynrychiolydd Archwilio Cymru

G. Lewis – Cynrychiolydd Archwilio Cymru

Hefyd yn bresennol (Yn y Siambr):

C. Moore, Cyfarwyddwr Gwasanaethau Corfforaethol

C. Powell, Prif Archwilydd

A. Bracey, Pennaeth Gofal Cymdeithasol i Oedolion

G. Ayers, Rheolwr Polisi Corfforaethol a Phartneriaeth

G. Jones, Digital Programme Manager (City Deal)

R. Morris, Swyddog Cefnogi Aelodau

J. Owens, Swyddog Gwasanaethau Democrataidd

Hefyd yn bresennol (Yn rhithwyr):

S. Rees, Cyfieithydd Ar Y Pryd

K. Thomas, Swyddog Gwasanaethau Democrataidd

Siambr, Neuadd Y Sir, Caerfyrddin, SA31 1JP - 10.00 - 11.46 yb**1. YMDDIHEURIADAU AM ABSENOLDEB.**

Cafwyd ymddiheuriad am absenoldeb gan Helen Pugh - Pennaeth Refeniw a Chydymffurfiaeth Ariannol a R. Hemingway - Pennaeth Cyllid.

2. DATGANIADAU O FUDDIANNAU PERSONOL.

Yr Aelod	Eitem ar yr Agenda	Math o Fuddiant
Mr Malcom MacDonald	7 - Adroddiad Blynyddol Polisi Cwynion y Cyngor	Mae gan Mr MacDonald gysylltiad ag un o'r achosion sydd wedi ei gofnodi fel

Sylwer: Mae'r cofnodion hyn yn amodol ar gael eu cadarnhau yn y cyfarfod nesaf

	2022-23	ystadegyn yn yr adroddiad. Arhosodd Mr MacDonald yn y cyfarfod ac ni chymerodd ran yn y trafodaethau na'r pleidleisio.
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3. DATGANIAD ARIANNOL AWDURDOD HARBWR PORTH TYWYN 2022-23

Gan gyfeirio at Gofnod 4 o'r cyfarfod a gynhaliwyd ar 27 Hydref 2023, yn unol â Rheoliadau Cyfrifon ac Archwilio (Cymru) 2014, a'r pwerau dirprwyedig a ymgorfforir yn y Mesur Llywodraeth Leol, bu'r Pwyllgor yn ystyried Datganiad Cyfrifon Archwiliedig 2022-2023 ar gyfer Awdurdod Harbwr Porth Tywyn.

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

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

Atgoffodd Cyfarwyddwr y Gwasanaethau Corfforaethol y Pwyllgor fod yr Awdurdod, ar 1 Ebrill 2018, wedi rhoi prydles hirdymor i The Marine & Property Group Ltd am gynnal a rheoli'r harbwr ac o ganlyniad roedd llawer llai o weithgaredd ar y datganiad. Fodd bynnag, yn dilyn rhoi'r brydles, penodwyd gweinyddwyr ym mis Mehefin 2023 ac roedd y Cyngor wedi cytuno i ddarparu cyllid tymor byr i sicrhau bod yr harbwr yn parhau i fod yn weithredol. Oherwydd bod y cwmni wedi mynd i ddwylo'r gweinyddwyr mae'r sefyllfa honno wedi creu amheuaeth sylweddol ynghylch casglu balansau dyledwyr ac felly roedd darpariaeth ar gyfer y swm hwnnw wedi'i chynnwys yn y cyfrifon.

Dywedwyd bod cost net gweithgareddau'r harbwr yn 2022-23 yn £146k (£687k yn 2021-22) ac mai Cyngor Sir Caerfyrddin oedd wedi cyllido'r holl weithgareddau'n llawn. Roedd yr asedau sefydlog a ddelir ar 31 Mawrth 2023 yn dod i gyfanswm o £867k. Roedd yr adroddiad yn nodi bod y gostyngiad o £697k yn y costau o flwyddyn i flwyddyn wedi'i wrthbwysu gan ddarpariaeth drwgddyled o £137k a gostyngiad o £19k mewn incwm.

Hefyd rhoddodd y Cyfarwyddwr wybod i'r Pwyllgor am y sefyllfa bresennol yn ymwneud â phroses weinyddu'r cwmni a thrafodaethau'r awdurdod â'r gweinyddwyr ynghylch hynny, ynghyd â'i gamau gweithredu i gyllido gweithrediad parhaus yr harbwr.

Cyfeiriwyd at y trefniant prydlesu rhwng y Cyngor a Burry Port Marine Ltd. Cadarnhawyd bod y cwmni wedi methu â bodloni telerau'r brydles a bod is-adran gyfreithiol y Cyngor yn edrych ar yr opsiynau cyfreithiol ynghylch fforffedu'r brydles honno yn y dyfodol. Hefyd, ar hyn o bryd roedd diddordeb trydydd parti yn yr harbwr a oedd yn cael ei drafod â'r gweinyddwyr.

Sylwer: Mae'r cofnodion hyn yn amodol ar gael eu cadarnhau yn y cyfarfod nesaf

PENDERFYNWYD YN UNFRYDOL gymeradwyo Datganiad Cyfrifon archwiliedig Awdurdod Harbwr Porth Tywyn 2022-23.

4. I YSTYRIED Y DOGFENNAU CANLYNOL A BARATOWYD GAN ARCHWILIO CYMRU:-

4.1. DIWEDDARIAD RHAGLEN WAITH ARCHWILIO CYMRU

Bu'r Pwyllgor yn ystyried y Diweddariad ynghylch Rhaglen Archwilio Cymru a'r amserlen, fel yr oedd ym mis Medi 2023.

Rhodddwyd gwybod i'r Pwyllgor, yn dilyn paratoi'r adroddiad, fod yr archwiliadau wedi'u cwblhau mewn perthynas â chyfrifon 2022-23 ar gyfer y Cyngor, Cronfa Bensiwn Dyfed, Bargaen Ddinesig Bae Abertawe a Chyd-bwyllgor Corfforaethol De Cymru. Roedd y cyfrifon mewn perthynas ag Awdurdod Harbwr Porth Tywyn wedi'u cwblhau a'u derbyn gan y Pwyllgor yng Nghofnod 3 uchod.

Yn ogystal, roedd yr adroddiad Gwybodaeth Perfformiad y cyfeiriwyd ato ar dudalen 24 o'r pecyn agenda wedi'i ddrafftio a'i rannu â'r Cyngor ac roedd yr Adroddiad Gofal Heb ei Drefnu ar dudalen 25 wedi'i ddrafftio ond heb ei rannu.

Gwnaed yr ymholiadau/sylwadau canlynol ynghylch yr adroddiad:

O ran yr adroddiad Sicrwydd ac Asesu Risg, y cyfeiriwyd ato ar dudalen 26, hysbyswyd y Pwyllgor bod yr adroddiad wedi'i gwblhau a bod disgwyl iddo gael ei ddychwelyd gan yr adran gyhoeddi ar 19 Rhagfyr. Wedi hynny, byddai'n cael ei rannu â'r Cyngor a'i gyhoeddi ar wefan Archwilio Cymru bedair wythnos yn ddiweddarach. Yn dilyn ei gyhoeddi, byddai'n cael ei drafod mewn cyfarfod o'r Pwyllgor Llywodraethu ac Archwilio yn y dyfodol.

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

4.2. ADOLYGIAD O'R STRATEGAETH DDIGIDOL - CYNGOR SIR CAERFYRDDIN

Bu'r Pwyllgor yn ystyried adroddiad Archwilio Cymru ar Adolygiad Strategaeth Ddigidol Sir Gaerfyrddin. Er bod yr adolygiad wedi'i gynnal fel rhan o Adolygiad Cenedlaethol, roedd adroddiadau unigol wedi'u paratoi ar gyfer pob cyngor. Ar gyfer Sir Gaerfyrddin, roedd yr adroddiad yn ystyried i ba raddau yr oedd ei dull strategol o ymdrin â gwasanaethau digidol wedi'i ddatblygu yn unol â'r egwyddor datblygu cynaliadwy a'r gobaiith oedd y byddai'n helpu i sicrhau gwerth am arian wrth ddefnyddio adnoddau'r Cyngor. Dyma oedd y canfyddiadau allweddol:

Sylwer: Mae'r cofnodion hyn yn amodol ar gael eu cadarnhau yn y cyfarfod nesaf

- Mae gan y Cyngor ddull strategol clir o ymdrin â digidol, sy'n cael ei lywio gan ddealltwriaeth dda o dueddiadau'r presennol a'r dyfodol ac sy'n cael ei ddeall gan aelodau etholedig allweddol a swyddogion.
- Mae trefniadau llywodraethu cryf i fonitro cynnydd prosiectau digidol a gefnogir gan gynlluniau gweithredu sy'n cynnwys cerrig milltir a mesurau perfformiad.
- Mae'r Cyngor hefyd wedi adolygu effaith pandemig COVID-19 ar gyflawni ei strategaeth ddigidol ac wedi cymhwysu dysgu o hyn i lywio ei ddull strategol.
- Gallai trefniadau'r Cyngor gael eu cryfhau ymhellach trwy ymgysylltu'n well â'r cyhoedd, gan egluro sut y gallai gyfrannu at y nodau llesiant cenedlaethol ac archwilio cyfleoedd ar gyfer gweithio mewn partneriaeth ymhellach.
- Nod y Cyngor hefyd yw monitro gwerth am arian trwy adolygiadau ôl-weithredu prosiectau, fodd bynnag, nid yw'r rhain bob amser wedi'u cwblhau, ac nid yw cyflawni arbedion bob amser yn cael ei fonitro.

Roedd yr adroddiad hefyd wedi nodi pedwar argymhellid (fel y manylwyd yn yr adroddiad) ac atodwyd ymateb y Cyngor i'r adroddiad:

Rhodddwyd sylw i'r materion canlynol wrth drafod yr adroddiad:

Cyfeiriwyd at Atodiad 1 yr adroddiad a oedd yn manylu ar y cwestiynau yr oedd Archwilio Cymru yn ceisio eu hateb, ynghyd â'r meini prawf a ddefnyddiwyd i gyrraedd ei ganfyddiadau. Canfu'r Pwyllgor fod yr Atodiad yn rhoi llawer o wybodaeth gan ddarparu eglurder a nodi'r fframwaith ar gyfer cynnal yr archwiliad.

Er y cydnabuwyd na ellid defnyddio dull unfurf i gynnal gwerthusiad o unrhyw strategaeth yn gyffredinol, gofynnwyd am eglurhad ynghylch sut y byddai'r Cyngor yn gwerthuso'r Strategaeth Ddigidol. Cadarnhawyd mai monitro yw'r allwedd i werthuso, ac y byddai'r cyngor yn trafod ag Archwilio Cymru ynghylch y ffordd orau o wneud hynny. Un peth sy'n allweddol i hynny fyddai monitro cyfraddau bodlonrwydd, yn feintiol ac yn ansoddol, ar gyfer gwasanaethau a ddarperir yn fewnol i adrannau'r cyngor ac yn allanol i drigolion y cyngor.

O ran cwestiwn ynghylch monitro argymhellion yr adroddiad, cadarnhawyd y byddai hynny'n rhan o adroddiadau cynnydd i'r Pwyllgor yn y dyfodol ynghylch argymhellion rheoleiddiol, fel y nodir yn eitem 8 o'r agenda.

Mewn ymateb i gwestiwn am faterion cysylltedd yn y sir, yn enwedig yr ardaloedd mwy gwledig, derbyniwyd bod problem a bod dros £15m wedi'i fuddsoddi yn y maes hwnnw yn ystod y tair blynedd diwethaf, a byddai'r Strategaeth Ddigidol newydd, a fydd yn cael ei llunio ar gyfer 2024, yn canolbwyntio ar gynyddu cysylltedd i weddill y sir. Byddai'r Strategaeth hefyd yn canolbwyntio ar adfywio digidol, gan gynnwys gwella sgiliau digidol a chynhwysiant i drigolion y sir.

PENDERFYNWYD YN UNFRYDOL dderbyn yr adroddiad a nodi ymatebion y Cyngor i'r argymhellion.

Sylwer: Mae'r cofnodion hyn yn amodol ar gael eu cadarnhau yn y cyfarfod nesaf

4.3. GOSOD AMCANION LLESIANT - CYNGOR SIR GÂR

Bu'r Pwyllgor yn ystyried adroddiad Archwilio Cymru ynghylch pennu Amcanion Llesiant Sir Gaerfyrddin. Eglurwyd bod Deddf Llesiant Cenedlaethau'r Dyfodol (Cymru) 2015 yn gosod dyletswydd 'llesiant' ar 48 o gyrff cyhoeddus a oedd yn ei gwneud yn ofynnol iddynt bennu a chyhoeddi 'amcanion llesiant' i geisio sicrhau eu bod yn cyfrannu cymaint â phosibl at y gwaith o gyflawni pob un o saith nod llesiant cenedlaethol y Ddeddf drwy gymryd pob cam rhesymol wrth arfer eu swyddogaethau i gyflawni'r amcanion hynny.

Nododd y Pwyllgor fod yr adroddiad wedi gwneud un canfyddiad allweddol bod 'y Cyngor wedi cymhwyso'r egwyddor datblygu cynaliadwy wrth bennu ei amcanion llesiant newydd ond y gallai gryfhau ei drefniadau ar gyfer cynnwys dinasyddion a monitro ei gynnydd'.

Roedd yr adroddiad hefyd yn cynnwys un argymhelliad ynghyd ag ymateb y Cyngor iddo.

Mewn ymateb i gwestiwn am ymgysylltu â'r gymuned ynghylch ymgynghoriadau cyhoeddus y Cyngor, cadarnhawyd bod y Cyngor yn ystyried yr opsiwn o greu rhyw fath o banel o gynrychiolwyr preswylwyr sy'n debyg i banel dinasyddion, a sut y gellid datblygu a chefnogi hynny a darparu adnoddau ar ei gyfer. Er enghraifft, roedd y panel dinasyddion blaenorol wedi gweithredu mewn partneriaeth â'r Bwrdd Iechyd Lleol a Heddlu Dyfed-Powys.

PENDERFYNWYD YN UNFRYDOL dderbyn yr adroddiad a nodi ymateb y Cyngor i'w argymhellion.

5. ADRODDIAD ARCHWILIO CYMRU: AMSER AM NEWID - TLODI YNG NGHYMRU ADRODDIAD CYNNYDD

Yn unol â chofnod 5.5 o'i gyfarfod a gynhaliwyd ar 14 Gorffennaf 2023, cafodd y Pwyllgor adroddiad cynnydd ynghylch adroddiad Archwilio Cymru o'r enw 'Amser am newid – Tlodi yng Nghymru' gan amlinellu ymateb y Cyngor i'r argymhellion a nodwyd yn yr adroddiad hwnnw sy'n berthnasol i lywodraeth leol. Nodwyd bod y Cyngor wedi cymeradwyo ei 'Gynllun Trechu Tlodi 2023' ym mis Gorffennaf 2023 a bod y camau a ddeilliodd o hwnnw wedi'u hymgorffori mewn cynlluniau busnes gwasanaeth gan fonitro cynnydd drwy'r trefniadau rheoli perfformiad arferol. Yn ogystal, roedd y Panel Ymgynghorol trawsbleidiol ynghylch Trechu Tlodi, dan gadeiryddiaeth yr Aelod Cabinet sy'n gyfrifol am Drechu Tlodi (y Cynghorydd Linda Evans), yn monitro cynnydd ynghylch cyflawni'r cynllun yn ogystal â rhoi gwybod i'r Aelod Cabinet am feysydd i'w datblygu.

Codwyd y materion canlynol:

Cyfeiriwyd at weithrediad Hwb Bach y Wlad yn y deg tref. Nodwyd ei bod wedi cymryd amser i sefydlu ei hun yn y cymunedau a bod y nifer sy'n defnyddio'r gwasanaeth bellach wedi cynyddu wrth i bobl ddod i adnabod y gwasanaeth a dywedwyd ei bod yn darparu cyngor a chymorth gwerthfawr i drigolion. Roedd ei

Sylwer: Mae'r cofnodion hyn yn amodol ar gael eu cadarnhau yn y cyfarfod nesaf

waith yn cael ei ariannu gan y Gronfa Ffyniant Gyffredin tan fis Rhagfyr 2024 a byddai'n cael ei fonitro yn unol â meini prawf y gronfa.

PENDERFYNWYD YN UNFRYDOL dderbyn yr adroddiad cynnydd.

6. Y DIWEDDARAF YNGHYLCH AR CYNLLUN ARCHWILIO MEWNOL 2023/24

Bu'r Pwyllgor yn ystyried adroddiad diweddarau ynghylch rhoi'r Cynllun Archwilio Mewnol ar waith ar gyfer 2023/24. Roedd Atodiad B i'r adroddiad yn darparu crynodebau o adroddiadau ariannol wedi'u cwblhau ynghylch systemau ariannol allweddol sy'n ymwneud â'r canlynol:

- Y brif system gyfrifyddu
- Talu Credydwy
- Cyfrifyddu Cyfalaf

Adolygodd y Pwyllgor y cynnydd a oedd wedi cael ei wneud o ran rhoi'r rhaglen archwilio ar waith a oedd yn dangos cyfradd gwblhau o 55% hyd yn hyn.

Nodwyd hefyd y byddai'r aseiniad yn y Cynllun ar 'Byw â Chymorth' yn cael ei ddisodli gan aseiniad ar 'Ofalwyr Cymorth'.

PENDERFYNWYD YN UNFRYDOL dderbyn y Wybodaeth Ddiweddaraf am Gynllun Archwilio Mewnol 2023/24.

7. POLISI CWYNION Y CYNGOR ADRODDIAD BLYNYDDOL 2022-23

(NODER: Roedd Mr MacDonald wedi datgan buddiant yn yr eitem hon yn gynharach; ailddatganodd y buddiant hwnnw ac arhosodd yn y cyfarfod ond ni chymerodd unrhyw ran yn y drafodaeth na'r bleidlais ddilynol)

Yn dilyn cofnod 6 o gyfarfod y Pwyllgor a gynhaliwyd ar 29 Medi 2023, bu'r Pwyllgor yn ystyried Adroddiad Blynyddol Cwynion 2022-23 a oedd wedi'i diwygio ac a oedd yn rhoi manylion am y broses cwynion corfforaethol a chwynion gwasanaethau cymdeithasol, data ar gwynion / canmoliaeth a gafwyd yn ystod 2022-23 ynghyd â gwybodaeth ychwanegol yn ymwneud â:

- Cydymffurfio ag amserlen y Polisi Cwynion
- Cydymffurfio â Rheoliadau Gweithdrefn Gwynion y Gwasanaethau Cymdeithasol (Cymru) 2014 ar gyfer Cwynion Gwasanaethau Oedolion a Phlant
- Adborth o ran canlyniadau cwynion a defnyddwyr gwasanaeth
- Mwy o wybodaeth am ganmoliaeth a gafwyd.

Roedd y Pwyllgor yn croesawu'r adroddiad diwygiedig a oedd yn rhoi sylw i'r pwyntiau a godwyd yn ei gyfarfod ym mis Medi a diolchodd y Pwyllgor i'r swyddogion am wella'r adroddiad i adlewyrchu ei sylwadau o'r cyfarfod blaenorol. Er bod yr adroddiad diwygiedig yn cael ei groesawu, nodwyd y byddai gwelliannau/newidiadau pellach yn cael eu gwneud mewn adroddiadau yn y

Sylwer: Mae'r cofnodion hyn yn amodol ar gael eu cadarnhau yn y cyfarfod nesaf

dyfodol, er enghraifft, cynnwys ffigurau cymharol ar gyfer y blynyddoedd blaenorol.

Cyfeiriwyd at y nifer uchel o gwynion a gadarnhawyd a gofynnwyd am sicrwydd nad oeddent wedi deillio o faterion sefydliadol a'u bod yn debygol o barhau. Sicrhawyd y Pwyllgor bod nifer uchel y cwynion a gafwyd yn ymwneud â gwasanaethau yn bennaf a bod y ddau wasanaeth â'r nifer mwyaf yn ymwneud â gweithrediad y gwasanaeth casglu gwastraff yn dilyn cyflwyno arferion gwaith newydd. Y gwasanaeth arall oedd Atgyweiriadau Tai ac roedd prosesau newydd wedi'u cyflwyno ar gyfer y gwasanaeth hwnnw yn ddiweddar.

O ran darparu gwybodaeth i'r Pwyllgor am gwynion Cam 2 a'r amseroedd y mae'n eu cymryd i roi sylw iddynt, dywedwyd wrth y Pwyllgor fod gwaith yn mynd rhagddo i ddod o hyd i ateb i hyn a'i fod yn flaenoriaeth i'r Cyngor. Fodd bynnag, wrth wneud y gwaith hwnnw, roedd ateb posibl hefyd wedi'i nodi ar gyfer darparu gwybodaeth yn ymwneud â chofnodi amseroldeb ymateb i gwynion Cam 1.

PENDERFYNWYD derbyn Adroddiad Blynyddol Polisi Cwynion 2022-23.

8. CYNNYDD AR ARGYMHELLION O FEWN ADRODDIADAU RHEOLEIDDIO

Cafodd y Pwyllgor adroddiad yn amlinellu'r cynnydd a wnaed mewn perthynas ag argymhellion mewn adroddiadau rheoleiddiol cenedlaethol a lleol (ystyr lleol yw penodol i Sir Gaerfyrddin) a oedd yn manylu ar argymhellion parhaus o adroddiadau blaenorol ynghyd ag argymhellion a gwblhawyd ac a gaewyd yn ystod y flwyddyn flaenorol.

Ar gyfer adroddiadau yn y dyfodol, cytunwyd pan fydd cam gweithredu wedi'i gwblhau y dylid newid statws perfformiad yr adroddiad hefyd i 'cwblhawyd' ac nid 'yn unol â'r targed' fel sy'n cael ei ddangos ar hyn o bryd.

PENDERFYNWYD YN UNFRYDOL dderbyn yr adroddiad cynnydd.

9. LOG GWEITHREDU'R PWYLLGOR LLYWODRAETHU AC ARCHWILIO

Bu'r Pwyllgor yn ystyried y Cofnod o Gamau Gweithredu'r Pwyllgor Llywodraethu ac Archwilio a oedd yn nodi'r camau gweithredu i'w monitro/datblygu o gyfarfodydd blaenorol.

Cyfeiriodd Cyfarwyddwr y Gwasanaethau Corfforaethol at gam gweithredu GAC – 2023/O5 yn ymwneud â'r broses Ardystio Staff y Gyflogres a dywedodd, yn dilyn pryderon y Pwyllgor a fynegwyd yng nghyfarfod mis Medi, bod camau pellach wedi'u cymryd a bod cyfradd ymateb Adrannau'r Cyngor bellach yn 99%. Fodd bynnag, ar gyfer ysgolion, nid oedd 49 wedi darparu'r wybodaeth berthnasol eto er bod nodyn atgoffa wedi'i anfon ym mis Awst ac er bod y mater wedi cael ei godi yn y Fforwm Penaethiaid Ysgol. Y cam nesaf fyddai bod llythyr yn cael ei anfon gan y Cyfarwyddwr Addysg yn uniongyrchol at y penaethiaid ysgol perthnasol a'u cadeirydd llywodraethwyr gan nodi ei bod yn ofynnol darparu'r wybodaeth.

Sylwer: Mae'r cofnodion hyn yn amodol ar gael eu cadarnhau yn y cyfarfod nesaf

Nododd y Pwyllgor nad oedd argymhelliad 7.2 yng nghofnodion y cyfarfod a gynhaliwyd ar 27 Hydref wedi'i gynnwys yn y cofnod ond y byddai hynny'n cael ei gywiro ar gyfer y cyfarfod nesaf.

PENDERFYNWYD YN UNFRYDOL dderbyn y Cofnod o Gamau Gweithredu'r Pwyllgor Llywodraethu ac Archwilio.

10. LLOFNODI YN GOFNOD CYWIR COFNODION CYFARFOD PWYLLGOR LLYWODRAETHU AC ARCHWILIO AR 27 HYDREF 2023

PENDERFYNWYD Ilofnodi bod cofnodion cyfarfod y Pwyllgor Llywodraethu ac Archwilio a gynhaliwyd ar 27 Hydref 2023 yn gofnod cywir.

CHAIR

DATE

Sylwer: Mae'r cofnodion hyn yn amodol ar gael eu cadarnhau yn y cyfarfod nesaf