



REGULATORY RECOMMENDATIONS


ANNUAL REPORT 2020

FOR AUDIT COMMITTEE 18TH DECEMBER 2020


REGULATORY RECOMMENDATIONS		
	NO.	%
OFF TARGET	5	7%
ON TARGET (COMBINED – ONGOING & COMPLETED)	66	93%
ON TARGET (ON-GOING)	49	69%
ON TARGET (COMPLETED)	17	24%
TOTAL	71	

OFF TARGET


Objective: WAO/LOCAL: Evaluation of the Council's review of people performance management 2017 (April 18)

Action	13648	Target date	31/03/2020 (original target 31/03/2019)
Action promised	In line with recommendations of the Internal Audit Review of Declaration of Interests, Gifts and Hospitality 2017, the guidance on declarations of interest should be reviewed and, if appropriate, updated		
Comment	Since the Review, consideration has been given to best practice across Public Sector in Wales and as a result a new draft Employee Code of Conduct Guide and electronic Declaration of Interest Form have been developed for discussion and agreement by the Corporate Management Team. Going forward consideration will need to be given to how the process for declaring interests is publicised to staff. This activity has been suspended due the Coronavirus outbreak. The current system for declaring an interest will continue. A reminder has gone out to all staff to state that the officer code of conduct still applies and should be adhered to during the pandemic.		
Remedial Action	This work will be resurrected once there is capacity within the team to develop and roll out a communications plan.		
Service Head: Paul R Thomas		Performance status: Off target	



Objective: WAO/LOCAL: Service User Perspective Review: Online Services (May 19)

Action	14300	Target date	30/09/2021 (original target 31/03/2020)
Action promised	Service user involvement: The Council should develop a systematic approach to involving service users in the future design and development of its online/channel shifted services.		
Comment	Due to the pandemic we have had to re-evaluate how we involve service users in design and development, a lot of our planned activities are no longer possible. We continue to evaluate feedback from the website and digital processes and use this information to improve our digital services. We actively ask for feedback at every opportunity. We had considered digital solutions such as Useberry and Hotjar to enable us to assess user journeys, identify weak spots etc. however we do not have the resources in place to make the most of these tools.		
Remedial Action	Although we take customer feedback very seriously and act on this as soon as possible we cannot currently involve them in the design process. In the current situation IT/M&M cannot prioritise this due to the volume of work that's being delivered, engaging services users would slow this down significantly. In the long term, to deliver this we'd need additional resources and budget.		
Service Head: Deina Hockenull		Performance status: Off target	

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

Action	14298	Target date	31/03/2020
Action promised	Corporate: Develop a system to provide assurance at a corporate level that the Council is considering the five ways of working in the actions to deliver the well-being objectives		
Comment	A new digital solution is approaching completion but has been delayed since the outbreak of Covid19. The new system will provide assurance that the 5 ways of working are being considered as part of every Project and Policy decision being proposed by officers.		
Remedial Action	A new digital solution is approaching completion but has been delayed since the outbreak of Covid19.		
Service Head: Noelwyn Daniel		Performance status: Off target	

Objective: WAO/NATIONAL: How Local Government Uses Data (Dec 18)

Action	14409	Target date	31/03/2020
Action promised	Upskill staff: LA's: to identify staff who have a role in analysing & managing data to remove duplication & free up resources to build & develop capacity in data usage; & to invest & support development of staff data analytical, mining & segmentation skills		
Comment	The Review has been on hold due to Covid19 but we will be looking to build capacity to address this matter.		
Remedial Action	Review continuing		
Service Head: Noelwyn Daniel		Performance status: Off target	
Action	14410	Target date	31/03/2020
Action promised	Data-driven decision-making culture: LA's: to set data reporting standards to ensure minimum data standards underpin decision making; and to make more open data available		
Comment	A review is currently underway to review the role of Corporate Policy and build capacity to undertake this type of function		
Remedial Action	A review is currently underway to review the role of Corporate Policy and build capacity to undertake this type of function		
Service Head: Noelwyn Daniel		Performance status: Off target	

ON TARGET

Objective: WAO/LOCAL: Audit Committee Effectiveness (July 18)			
Action	13637	Target date	31/03/2021 (original target 31/03/2019)
Action promised	Ensure that all Audit Committee members have access to full versions of all internal audit and external regulatory and audit reports, and strengthen arrangements for tracking actions taken to address the recommendations they include		
Comment	The tracking of recommendations and actions is done through PIMS, with annual reports taken to the Audit Committee on the progress of actions to address internal and external recommendations. We are considering options of how best to provide full access to our reports, in a controlled manner. In the interim period, the Principal Auditor is providing full reports to the Chair and Vice Chair of Audit Committee on a monthly basis, ensuring reports are received by them in a timely manner.		
Service Head: Helen Pugh		Performance status: On target	
Action	13638	Target date	31/03/2021 (original target 01/06/2019)
Action promised	Improve the information provided to Audit Committee by: ensuring that reports give enough context and background for committee members to understand the key risks and issues; ensuring that reports are more specific about what action the Audit Committee needs to take in order to discharge its core functions		
Comment	Reports provided to the Audit Committee are thorough and include sufficient context and information. Reports are specific about what action the Audit Committee needs to take in order to discharge its core functions.		
Service Head: Helen Pugh		Performance status: On target	

Objective: CIW: Older People CIW Review (Aug 19)			
Action	14039	Target date	31/03/2020
Action promised	We will make the Information Advice and Assistance (IAA) service as effective as possible, focussing on prevention and early intervention, working with community and third sector organisations, to achieve better outcomes for individuals.		
Comment	<p>Quarter 3 identified development required for improving information, advice and assistance to individuals, focussing on prevention and early intervention, working with community and third sector organisations, to achieve better outcomes. The IAA service was under review during quarter 3 until the interruptions to regular service in quarter 4 by COVID-19, there is further work to be done working towards a Single Point of Access (SPOA) and for the role and function of the professional intake requirement for the team.</p> <p>IAA effectiveness has a steady increase from 10% in December 2019, 15% in January 2020, 19% February and 23% in March. The team have shown resilience during the pandemic in supporting our population while agile working at home, effectiveness during this period has increased to 43%. This would indicate that public enquiries to IAA may have been of a different nature during this period. We are presently working on a recovery plan to consider any learning that may affect the service efficiencies for the future.</p>		
Service Head: Alex Williams		Performance status: On target	
Action	14053	Target date	31/03/2020
Action promised	We will improve the population health and well-being across the 3 tiers by continuing to implement a preventative framework with clear outcomes of each tier - Prevention; Early intervention; Promoting Independent Living		
Comment	The whole preventative framework was reviewed and refreshed this year with an associated action plan for delivery. This was aligned to delivery of A Healthier West Wales and the associated transformation funds. A revised plan was developed 'A Healthier Carmarthenshire' where the tiers of delivery was amended to include Help for strong communities to reflect the importance of community based solutions. Individual delivery plans were developed for each tier with associated actions, targets and outcomes. Outcomes and impact are being measured through the regional outcomes framework. The plan overall will deliver until March 2021 – the end of the funding period but to date delivery is in line with planned targets and delivery schedule.		
Service Head: Alex Williams		Performance status: On target	
Action	14473	Target date	31/03/2020
Action promised	Ensure managers record oversight of work on the IT record management system		
Comment	Due to a delay in the implementation of Eclipse we have now re-opened the authorisation function within the Care First system, so all assessments and care and support plans are authorised on the system by the Managers.		
Service Head: Alex Williams		Performance status: On target	
Action	14474	Target date	31/03/2020
Action promised	Ensure qualitative performance information is gathered across the directorate and this provides opportunity for learning across the service		
Comment	Performance data is used on a regular basis by managers across the department. Monthly performance management meetings are held by the director. There are daily reports automated to managers to help them manage their service area. Ongoing performance measures are developed and reported as and when information is required.		
Service Head: Alex Williams		Performance status: On target	
Action	14475	Target date	31/03/2020
Action promised	Ensure personal outcomes recorded represent a personal narrative of what is important to people		
Comment	<p>We have delivered the following training sessions to staff on personal outcomes:</p> <p>29.1.20 Towy, Teifi, Taf Community Resource Team</p> <p>26.2.20 Llanelli Community Resource Team</p> <p>27.2.20 Glangwili Hospital Team</p> <p>12.3.20 Aman & Gwendraeth Community Resource Team</p>		
Service Head: Alex Williams		Performance status: On target	
Action	14476	Target date	31/03/2020
Action promised	Ensure a sufficient range of services to carers is available across the local authority		
Comment	New commissioning post appointed to - starting 1st Nov 19. The post will be responsible for identifying the need for services for carers.		
Service Head: Neil Edwards		Performance status: On target	

Action	14478	Target date	31/03/2020 (original target 31/03/2020)
Action promised	Ensure a consistent consideration of the right to formal advocacy		
Comment	Additional funding to support advocacy and system for spot arrangements in place. Regional pilot commenced in Oct'19 which will inform future commissioning arrangements.		
Service Head: Chris Harrison		Performance status: On target	
Action	14479	Target date	31/03/2020
Action promised	Ensure there is equity of services across all areas of the county		
Comment	As a department we hold monthly Locality Manager and Team Manager meetings to ensure equity within practice across the County. All information is disseminated to the teams in monthly Community Resource Team meetings and Social Work Team meetings. The Social Services and Well-being (Wales) Act Implementation Manager conveys all changes in process via a monthly E-mail to all staff and uploads the information into the Departmental "Just Asc" web-based system which is accessible to all staff. This needs to be understood in context that all three localities are different, and services are tailored to the population health needs of the locality. In addition, cluster funding can lead to differing initiatives taking place in each locality. During the current COVID-19 pandemic we are also having daily skype meetings across the county to ensure consistent approach to any change in service to meet the changing demands. Along with adding a specific page on the "Just Asc" website in relation to COVID – 19 so staff have instant access to any changes in processes or update in legislation.		
Service Head: Alex Williams		Performance status: On target	

Objective: WAO/LOCAL: Review of Risk Management Arrangements (July 19)			
Action	14302	Target date	31/03/2021 (original target 31/03/2020)
Action promised	Procedures and Guidance: The Council should develop suitable procedures and guidance to underpin its risk management strategy to ensure that risk management is consistently embedded across the organisation.		
Comment	A risk management toolkit is currently being developed. Additional resource via internal secondment has been utilised to progress this.		
Service Head:	Helen Pugh	Performance status:	On target
Action	14303	Target date	31/03/2021 (original target 31/03/2020)
Action promised	Risk Appetite: The Council should define its corporate risk appetite to ensure that it manages risks and opportunities effectively.		
Comment	Risk training to be provided by external consultants and/or the Authority's Brokers/Insurers with the target completion within Quarter 4 2020-21		
Service Head:	Helen Pugh	Performance status:	On target
Action	14304	Target date	31/03/2021 (original target 31/03/2020)
Action promised	Performance Management: The Council should further align its risk management arrangements with its performance management arrangements.		
Comment	Key risks are included as part of Business Plan. Review of Service Risk Registers are a standing item on the Agenda of the Contingency Planning Working Group. The next Business Contingency Planning meeting is scheduled for 29th October 2020.		
Service Head:	Helen Pugh	Performance status:	On target
Action	14305	Target date	31/03/2021 (original target 31/03/2020)
Action promised	Roles & Responsibilities: The Council should review and clarify the roles and responsibilities of: Managers, Staff, Risk Champions, The Risk Management Steering Group in its risk management arrangements		
Comment	Upgrade JCAD delayed due to COVID-19. This has now been completed and training for key officers can be progressed in Q4 2020-21. RM toolkit (see ref 14302 above) will include section clarifying roles & responsibilities. JCAD CORE Upgrade was completed in October 2020. Training will be rolled out to key officers (primary users of the system) in Q4 2020-21		
Service Head:	Helen Pugh	Performance status:	On target
Action	14306	Target date	31/03/2021 (original target 31/03/2020)
Action promised	Risk Management System: The Council should: clarify system it is using to identify & capture risks to ensure consistency in approach across the organisation; & review the information recorded on risk registers throughout the organisation to ensure information is up to date, complete, & has enough detail to ensure risks can be appropriately managed		
Comment	Upgrade JCAD delayed due to COVID-19. This has been completed in October 2020. RM toolkit (see ref 14302 above) will refer to the JCAD CORE system and its required use throughout the Authority.		
Service Head:	Helen Pugh	Performance status:	On target
Action	14307	Target date	31/03/2021 (original target 31/03/2020)
Action promised	The Council to Improve Effectiveness by: training staff; regularly seeking assurance on effectiveness of all aspects of its arrangements & acting on findings; & embedding process for identifying lessons learned & sharing good practice across organisation		
Comment	Risk training to be provided by external consultants, target completion of Q4 2020-21. Implementation of all actions noted above will lead to an overall improvement / effectiveness of the RM arrangements across the Authority.		
Service Head:	Helen Pugh	Performance status:	On target

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

Action	14291	Target date	31/03/2020
Action promised	Long-Term: Review what data is currently available and identify what additional information is needed to evidence progress towards achieving outcomes / impact in the longer term		
Comment	Due to re-alignment of officers duties during the pandemic period there has been no further investigation into available information. Long term effects of the pandemic may also have to be factored into measuring the benefits of a healthy lifestyle. Outdoor play has been limited during this period and our own research conducted with parents, carers and guardians showed that this period has had a negative impact on children's physical and mental wellbeing. This will have to be monitored closely as the response and recovery plans continue.		
Service Head: Gareth Morgans		Performance status: On target	
Action	14295	Target date	30/09/2020 (original target 31/03/2020)
Action promised	Involvement: Undertake an Equality Impact Assessment on the step		
Comment	completion date will have to be extended due to Coronavirus pressures taking precedence.		
Service Head: Ian Jones		Performance status: On target	
Action	14296	Target date	31/03/2020
Action promised	Involvement: Identify and address any gaps in the groups / forums of young people used for consultation and engagement to ensure they are fully inclusive		
Comment	During the Pandemic period we have been continuing to recruit Carmarthenshire Young Council Members via word of mouth and they are attending regular digital meetings, we have recently recruited young people who have English as an additional language etc trying to ensure CYC is as diverse as possible.		
Service Head: Gareth Morgans		Performance status: On target	
Action	14297	Target date	31/03/2020
Action promised	Collaboration: Further engagement with schools to maximise the benefit of using school buildings for out of hours activities / community benefit		
Comment	Due to the restrictions implemented as a result of the COVID 19 pandemic, schools closed on 20th March 2020. Some school buildings were used as childcare hubs for key workers or to distribute Free School meals parcels until they increased operations on 29th June 2020. All school buildings and sites have been risk assessed in order for them to be operational to deliver educational provision. Since 29th June, other than breakfast and after school clubs, school buildings have not been available for out of hours activities / community benefit.		
Service Head: Gareth Morgans		Performance status: On target	

CLOSED (@ EOY 19/20)

Action	14293	Target date	31/03/2020
Action promised	Long-term: Identify the key aspects that underpin a self-sustaining leisure offer		
Comment	We will increase the range of physical activity opportunities available for children, and target those at higher risk of inactivity' - a step the Council is taking to meet its well-being objectives - a number of Council wide initiatives have been identified in the annual business plan to deliver this aspiration. The business plan also identifies areas of the business where income generation has been improved in order to mitigate the effects of budget cuts and to help subsidise non-statutory and no-income generating services.		
Service Head: Ian Jones		Performance status: On target	
Action	14294	Target date	31/03/2020
Action promised	Long-term: Identify how to measure the social value of services provided by the step		
Comment	We aim to increase the range of physical activity opportunities available for children, and target those at higher risk of inactivity', as the key `step` the Council is taking to meet its well-being objectives. A number of initiatives are highlighted in our annual business plan are identified and regularly monitored in order to deliver on this aspiration.		
Service Head: Ian Jones		Performance status: On target	

Objective: WAO/NATIONAL: Local Government Services to Rural Communities (Nov 18)			
Action	14405	Target date	31/03/2020
Action promised	Councils provide a more effective response to the challenges faced by rural communities		
Comment	<p>The Authority is firmly committed to delivering the rural Ten Towns initiative which aims to support the regeneration needs of its key market towns. External consultants have been commissioned to identify local needs and to develop draft plans for the respective towns. This work is on-going. Whilst the general commission had been put on hold during the lockdown, work has resumed. An economic impact assessment of how the pandemic has impacted on the respective towns has been undertaken. The draft plans are nearing completion and have been considered by the Business, Economy and Communities task group. More formal consultations with the local communities will commence in early December. It is envisaged that the final plans will be completed by March 2021.</p> <p>Funding has also been secured to appoint 2 market towns officers whose role will be to work alongside the respective areas to drive forward the actions identified. Other Leader funded initiatives have been approved which will focus on working with the market towns in areas such as community led energy, digital smart towns.</p> <p>In addition, the Authority has investment more than £380,000 to businesses in the creative and food sectors via the ARFOR scheme.</p>		
Service Head: Jason Jones		Performance status: On target	

CLOSED (@ EOY 19/20)

Action	14404	Target date	31/03/2020
Action promised	PSB public services partners respond more effectively to the challenges faced by rural communities		
Comment	Further discussion on rural recommendations at January 2020 PSB meeting and workshop on the 10 rural towns programme. Due for further discussion at March 2020 meeting but was cancelled due to COVID-19 response. This will remain a priority for PSB during 2020-21 as there is significant interest and input from most PSB partners		
Service Head: Noelwyn Daniel		Performance status: On target	
Action	14406	Target date	31/03/2020
Action promised	Councils do more to develop community resilience and self-help		
Comment	Following approval and publication of the Council's Moving Rural Carmarthenshire Forward Report and Recommendations in September 2019 the 10 rural towns programme was launched in October 2019. This programme will work with representatives across the identified towns to develop growth plans for those towns and surrounding communities. Community resilience and self-help will be a key consideration of those growth plans. An Advisory Panel to the Executive Board Member for Rural Affairs will be established to monitor progress and consider any other issues for rural communities		
Service Head: Jason Jones		Performance status: On target	

Objective: WAO/NATIONAL: 'Raising Our Game' - Tackling Fraud in Wales (July 20)			
Action	14745	Target date	31/03/2021
Action promised	Reporting & Scrutiny: Public bodies need to collate information about losses & recoveries & share fraud intelligence with each other to establish a more accurate national picture, strengthen controls, & enhance monitoring & support targeted action		
Comment	Participation in collaborative working between Local Authority and Department of Works and Pension in criminal fraud investigations, which includes sharing of information and intelligence through appropriate legal gateways.		
Service Head: Helen Pugh		Performance status: On target	
Action	14746	Target date	31/03/2021
Action promised	Leadership & Culture: All public bodies should champion the importance of a good anti-fraud culture & actively promote its importance to give confidence to staff & members of the public that fraud is not tolerated		
Comment	<p>The Council's Anti-Fraud and Anti-Corruption Strategy has been revised and was approved by the Audit Committee on 16th October 2020. The Strategy has had input from the Council's Corporate Management Team, PEB, Audit Wales, Dyfed Powys Police and Trading Standards Colleagues.</p> <p>Over the coming weeks, the document and content will be actively promoted to give confidence to staff and members of the public that fraud is not tolerated.</p> <p>The potential for launching an e-learning module will also be explored.</p> <p>The importance of an anti-fraud culture and the need to actively promote the Authority's zero tolerance of fraud has already been identified within our business plan and is listed as a PIMS action; we agree and acknowledge that this is outstanding and requires implementation.</p> <p>Fraud and cyber awareness training has been arranged for CMT, Executive Board Members, Audit Committee Members and a number of Revenues & Financial Compliance staff. This training is to be provided by Dyfed Powys Police and will take place in October and November 2020.</p> <p>An Anti-Fraud and Anti-Corruption Annual Report is to be presented to CMT and to the Audit Committee; this reporting will commence for this current financial year.</p>		
Service Head: Helen Pugh		Performance status: On target	
Action	14747	Target date	31/03/2021
Action promised	Risk Man & Control Framework: All public bodies should undertake comprehensive fraud risk assessments, using appropriately skilled staff & considering national intelligence as well as organisation-specific intelligence.		
Comment	<p>A fraud risk register is currently under development.</p> <p>An accredited counter-fraud investigator is employed within the Corporate Services Dept. who works closely with Dyfed-Powys Police and other enforcement agencies to share information and intelligence for the purpose of detecting, deterring, and preventing fraud.</p> <p>The authority is an active member of the National Anti-Fraud Network and analyses intelligence from said Network along with the IDB intelligence database and access to SARs.</p>		
Service Head: Helen Pugh		Performance status: On target	
Action	14748	Target date	31/03/2021
Action promised	Risk Man & Control Framework: Fraud risk assessments should be used as a live resource & integrated within the general risk management framework to ensure that these risks are appropriately managed & escalated as necessary.		
Comment	Once the Fraud Risk Register is fully developed, the register will be used as a live resource to ensure the risks are appropriately managed and escalated as necessary.		
Service Head: Helen Pugh		Performance status: On target	
Action	14749	Target date	31/03/2021
Action promised	Policies & Training: All public bodies need to have a comprehensive & up-to-date set of policies & procedures which together represent a cohesive strategy for identifying, managing & responding to fraud risks.		
Comment	<p>The Council's Anti-Fraud and Anti-Corruption Strategy has been revised and was approved by the Audit Committee on 16th October 2020. The Strategy has had input from the Council's Corporate Management Team, PEB, Audit Wales, Dyfed Powys Police and Trading Standards Colleagues.</p> <p>Over the coming weeks, the document and content will be actively promoted to give confidence to staff and members of the public that fraud is not tolerated.</p> <p>The potential for launching an e-learning module will also be explored.</p> <p>Fraud and Cyber Awareness training has been arranged for CMT, Executive Board Members, Audit Committee Members and a number of Revenues & Financial Compliance staff. This training is to be provided by Dyfed Powys Police and will take place in October and November 2020.</p> <p>An Anti-Fraud and Anti-Corruption Annual Report is to be presented to CMT and to the Audit Committee; this reporting will commence for this current financial year.</p> <p>The Authority also has in place Financial Procedure Rules and Corporate Procedure Rules.</p>		
Service Head: Helen Pugh		Performance status: On target	

Action	14750	Target date	31/03/2021
Action promised	Policies & Training: Staff working across the Welsh public sector should receive fraud awareness training as appropriate to their role in order to increase organisational effectiveness in preventing, detecting & responding to fraud.		
Comment	<p>Fraud and Cyber Awareness training has been arranged for CMT, Executive Board Members, Audit Committee Members and a number of Revenues & Financial Compliance staff. This training is to be provided by Dyfed Powys Police and will take place in October and November 2020.</p> <p>Fraud awareness training has been provided by the counter-fraud investigator across various departments including Benefits, Council Tax, Housing, Social Care and frontline staff. The training is reviewed and refresher sessions are provided which will also incorporate new members of staff.</p> <p>The potential for launching an e-learning module is to be explored.</p>		
Service Head: Helen Pugh		Performance status: On target	
Action	14751	Target date	31/03/2021
Action promised	Policies & Training: Cases where fraud is identified & successfully addressed should be publicised to re-enforce a robust message from the top that fraud will not be tolerated.		
Comment	An Anti-Fraud and Anti-Corruption Annual Report is to be presented to CMT and to the Audit Committee; this reporting will commence for this current financial year. The report will include statistics relating to cases that have been investigated throughout the year. Where successful prosecutions are achieved, publication of these cases will be considered.		
Service Head: Helen Pugh		Performance status: On target	
Action	14753	Target date	31/03/2021
Action promised	Capacity & Expertise: All public bodies should have access to trained counter-fraud staff that meet recognised professional standards.		
Comment	<p>The Authority currently has adequately qualified staff in place to appropriately deal with Counter Fraud work, investigations, and sanctions. The authority employs several accredited financial investigators with close working links to Dyfed Powys Police and the National Crime Agency. These officers work on an authority wide basis.</p> <p>Further staffing resources will, however, be considered.</p>		
Service Head: Helen Pugh		Performance status: On target	
Action	14754	Target date	31/03/2021
Action promised	Capacity & Expertise: All public bodies should consider models adopted elsewhere in the UK relating to the pooling /sharing of resources in order to maximise the availability of appropriately skilled staff.		
Comment	<p>The Authority currently has adequately qualified staff in place to appropriately deal with Counter Fraud work, investigations, and sanctions. The Authority also employs several accredited financial investigators with close working links to Dyfed Powys Police and the National Crime Agency. These officers work on an authority wide basis, although further staffing resources will, however, be considered.</p> <p>We liaise with neighbouring Authorities to establish how their Counter Fraud function is resourced, giving due to consideration to models that could be adopted at CCC.</p> <p>We collaborate externally with Dyfed Powys Police (DPP) – an MOU is in place between CCC and DPP.</p>		
Service Head: Helen Pugh		Performance status: On target	
Action	14755	Target date	31/03/2021
Action promised	Tools & Data: All public bodies need to develop & maintain dynamic & agile counter-fraud responses which maximise the likelihood of a successful enforcement action & re-enforces the tone from the top that the organisation does not tolerate fraud.		
Comment	<p>Already Achieved (will continue with this work)</p> <p>We collaborate externally with Dyfed Powys Police (DPP) – an MOU is in place between CCC and DPP. Our relations with DPP have been, and continue to be, strengthened through regular communication and consultation.</p> <p>The Corporate Management Team recently considered, strengthened and approved the revised Anti-Fraud and Anti-Corruption Strategy.</p> <p>Fraud is reflected clearly on the audit plan to demonstrate that fraud is being looked into and taken seriously.</p> <p>These communications and collaborations will continue to ensure the likelihood of successful enforcement action is maximised and the tone from the top is reinforced that the organisation does not tolerate fraud.</p>		
Service Head: Helen Pugh		Performance status: On target	
Action	14756	Target date	31/03/2021
Action promised	Tools & Data: All public bodies should explore & embrace opportunities to innovate with data analytics in order to strengthen both the prevention & detection of fraud.		
	<p>Achieved - Data Analytics used:</p> <ul style="list-style-type: none"> - NFI - Datatank 		

Comment	- AP Forensics - IDEA		
Service Head: Helen Pugh		Performance status: On target	
Action	14757	Target date	31/03/2021
Action promised	Collaboration: Public bodies should work together, under the Digital Economy Act & using developments in data analytics, to share data & information to help find & fight fraud.		
Comment	<p>Already in place Participation in collaborative working between LA and DWP in criminal fraud investigations, which includes sharing of information and intelligence through appropriate legal gateways by means of NAFN/IDB/SARs & JARD.</p> <p>Data Analytics used: - NFI - Datatank - AP Forensics - IDEA</p>		
Service Head: Helen Pugh		Performance status: On target	
Action	14758	Target date	31/03/2021
Action promised	Reporting & Scrutiny: Audit committees must become fully engaged with counter-fraud, providing support & direction, monitoring & holding officials to account.		
Comment	The Council's revised Anti-Fraud and Anti-Corruption Strategy was approved by the Audit Committee as its meeting on 16th October 2020. An Anti-Fraud and Anti-Corruption Annual Report is to be presented to CMT and to the Audit Committee; this reporting will commence for this current financial year.		
Service Head: Helen Pugh		Performance status: On target	
Action	14759	Target date	31/03/2021
Action promised	Capacity & Expertise: All public bodies need to build sufficient capacity to ensure that counter-fraud work is resourced effectively, so that investigations are undertaken professionally & in a manner that results in successful sanctions against the perp		
Comment	The Authority currently has adequately qualified staff in place to appropriately deal with Counter Fraud work, investigations and sanctions further staffing resources will however be considered.		
Service Head: Helen Pugh		Performance status: On target	

Objective: WAO/NATIONAL: How Local Government Uses Data (Dec 18)			
Action	14407	Target date	31/03/2020
Action promised	Data Culture: LA's need: to have a clear vision that treats data as a key resource; to establish corporate data standards & coding; to undertake an audit; & create a central integrated customer account as a gateway to services		
Comment	This hasn't been progressed since the end of year due to Covid so the previous update still relevant. - no firm dates have been agreed but hopefully to re-commence the review in January. There has been a significant uptake in the My Account since Covid19 pandemic began.		
Service Head: Noelwyn Daniel		Performance status: On target	
Action	14408	Target date	31/03/2021 (original target 31/03/2020)
Action promised	Data Protection Responsibilities: LA's: to provide refresher training to service managers to ensure they know when & what data they can & cannot share; & review/update data sharing protocols to support services to deliver their data sharing responsibilities		
Comment	Content on sharing personal data is intended to be included in Data Protection sessions to be offered to service/third tier managers during 2020/21. However, due to continued homeworking, consideration needs to be made for this being delivered remotely and may continue into the next financial year. No further progress has been made on this action as at the end of Q2.		
Service Head: Noelwyn Daniel		Performance status: On target	

Objective: WAO/NATIONAL: Progress in implementing the VAWDASV Act (Nov 19)			
Action	14527	Target date	31/03/2021
Action promised	To support victims and survivors to access and use services we recommend that public bodies: a) produce comprehensive and relevant information in a variety of media on the full range of services available to protect and support victims and survivors;		
Comment	The Regional Communication and Engagement Subgroup is now established and has met to discuss TOR, Action Planning and the priorities for 2020-21. The Priorities for this year will be to focus on delivering a communication strategy aimed at 4 key messages; Older victims of abuse, Coercive Control, Live Fear Free Helpline and Children and Young People. We will also focus on branding of the Regional Partnership and the meaningful consultation of survivors within these initial stages of work. We have a regional pathway to support in place with a consistent route to support services. We are also in the process of launching a `chat bot` to offer a virtual option to access to support, advice and guidance consistently across the region.		
Service Head: Avril Bracey		Performance status: On target	
Action	14528	Target date	31/03/2021
Action promised	To support victims and survivors to access and use services we recommend that public bodies: b) create a joint pathway to access services and support for both victims and professionals and advertise access arrangements widely		
Comment	The Communication and Engagement Group is now established with draft TOR and a clear plan of action for 2020-21. This includes identification of resources available across the partnership to share information widely and consistently. This will include the meaningful engagement of survivors at all relevant stages. We have a Regional Pathway to Support in place and this has been shared across the region. This pathway features in the priorities for the C&E Subgroup in terms of awareness raising. We also are in the process of launching a virtual agent `chat bot` that will offer a digital option for individuals to seek advice, guidance and support in terms of VAWDASV.		
Service Head: Avril Bracey		Performance status: On target	
Action	14529	Target date	31/03/2021
Action promised	Authorities: a) ensure staff who are likely to come into contact with victims and survivors have appropriate VAWDASV training;		
Comment	The Regional Training Subgroup is well established with representation across all relevant agencies and the specialist sector. We have a centralised reporting framework to Welsh Government. We have a regional Training plan which now included Covid-19 specifically developed virtual Ask and Act delivery materials. We are also currently conducting a TNA across the specialist providers to ensure groups 4 and 5 of the NTF are met.		
Service Head: Avril Bracey		Performance status: On target	
Action	14533	Target date	31/03/2021
Action promised	LA's review their commissioning arrangements to: a)remove duplication & overlap between different approaches in authority & partners; b)rationalise administration arrangements; c)streamline & standardise commissioning arrangements; d)set appropriate performance measures, targets & benchmarks to judge impact & outcome of commissioned services		
Comment	The Regional VAWDASV Commissioning subgroup is established with Regional Membership. TOR and action plan has been drafted to outline 2020-21 priorities. Regional Commissioning document is now published in relation to VAWDASV. Best practice and the identification of a regional service specification is being agreed via a joint process and activity. We have drafted our Regional set of Indicators that mirror the National Indicator set. The National Indicators are currently under review, we are engaged with this process and will revise our Regional Indicators once the National ones are finalised.		
Service Head: Avril Bracey		Performance status: On target	

CLOSED (@ EOY 19/20)

Action	14526	Target date	31/03/2021
Action promised	Needs assessment and mapping of service provision by public bodies are revisited and involvement widened and enhanced to include all relevant stakeholders to build a more accurate picture of current service provision and identify gaps		
Comment	The Needs Assessment and Mapping exercise was completed for Mid and West Wales in 2018 with the resulting Strategy being launched at the end of November 2018. Therefore the Needs Assessment and Mapping of Services are still reflective and relevant to the current provision and need across the Region. This is being supported and strengthened by the formation of the Regional VAWDASV Commissioning Subgroup, which was established as a result of the commissioned external review of current commissioned services and commissioning arrangements across the Region in relation to VAWDASV. This was completed in September 2019.		
Service Head: Avril Bracey		Performance status: On target	

Action	14531	Target date	31/03/2021
Action promised	Authorities: c) review and update data sharing protocols to ensure they support services to deliver their data sharing responsibilities		
Comment	This element is being reported against Action No: 14408 - in relation to the WAO report on Data		
Service Head: Avril Bracey		Performance status: On target	
Action	14532	Target date	31/03/2021
Action promised	To ensure the benefits of regionalisation are realised, we recommend that delivery agencies (local authorities, health bodies, the police, fire and rescue authorities and the third sector) review their approach to regional working to better integrate services and maximise the positive impact they can make on victims and survivors		
Comment	<p>The Mid and West Wales Regional Partnership conducted a full Governance Review facilitated by an external consultant in 2019.</p> <p>An independent consultant was commissioned to undertake the following work on behalf of the Mid and West Wales Violence against Women, Domestic Abuse and Sexual Violence (VAWDASV) Strategic Board;</p> <p>To facilitate a workshop with members of the VAWDASV Strategic Board which focused on;</p> <ul style="list-style-type: none"> -Critically reviewing existing VAWDASV governance arrangements -Developing a shared understanding of the VAWDASV Strategic Delivery Plan 2019/20 -Identifying and agreeing the required infrastructure to implement the Strategic Delivery Plan 2019/20 <p>A report was produced as a result that highlighted the learning and recommendations from the workshop to inform the future governance and strategic arrangements around the Regional Strategy.</p> <p>This report was taken to the Regional Safeguarding Board for approval on the 11th July and all recommendations were accepted.</p> <p>The report was also shared with the Regional VAWDASV Board and the Regional Providers Forum with no objections.</p> <p>The recommendations have now been implemented with strengthened links to partner boards and the development of a Delivery Group which met for the first time on 21st October 2019.</p> <p>Membership of Strategic Group has also been reviewed and the strategic delivery plan has been condensed with new workstream leads to be nominated in the first Delivery Group meeting.</p>		
Service Head: Avril Bracey		Performance status: On target	

Objective: WAO/NATIONAL: Rough Sleeping in Wales – Everyone’s Problem; No One’s Responsibility (July 20)			
Action	14760	Target date	31/03/2021
Action promised	Intelligent use of data: Use data to plan the right future services, and to put in place effective data sharing protocols to ensure they respond effectively and safely to people sleeping rough. We recommend: i) invest in data analytical skills to better understand the current situation and predict future demand to prevent future homelessness		
Comment	We purchased a new software system in January 2019. This enables us to analyse the main causes of homelessness of those presenting to us (rough sleepers are identified through the subsequent investigation). We are also able to determine from that information the areas where those emanate from. For example this has enabled us to target support and interventions accordingly.		
Service Head: Jonathan Morgan		Performance status: On target	
Action	14761	Target date	31/03/2021
Action promised	Intelligent use of data: Use data to plan the right future services, and to put in place effective data sharing protocols to ensure they respond effectively and safely to people sleeping rough. We recommend: ii) review and update data sharing protocols to ensure they support services to deliver their data sharing responsibilities effectively		
Comment	We work in partnership with a number of third sector organisations to identify homeless individuals. We will undertake a review these to ensure we meet data sharing guidance with regard to external partners.		
Service Head: Jonathan Morgan		Performance status: On target	
Action	14762	Target date	31/03/2021
Action promised	Intelligent use of data: Use data to plan the right future services, and to put in place effective data sharing protocols to ensure they respond effectively and safely to people sleeping rough. We recommend: iii) introduce a single data capture & risk assessment process to help support safe decisions making in dealing with people sleeping rough		
Comment	Risk assessment processes are in place within the local authority. We will undertake a review of these to ensure we meet the required data sharing guidance with regard to external partners.		
Service Head: Jonathan Morgan		Performance status: On target	
Action	14763	Target date	31/03/2021
Action promised	Integrated services to tackle complex needs: By responding to people in crisis, often deal with issues in isolation & rarely address fundamental cause. Requires responsive service delivery models, We recommend public bodies use our complex needs self-reflection tool to improve how they can jointly address complex needs in the future		
Comment	We have a range of mechanisms where cases involving complex needs are discussed and resolved. They will involve a range of disciplines including housing, social care, youth/children services, police. We will undertake a review of these to ensure we meet the requirements of data sharing guidance with regard to external partners.		
Service Head: Jonathan Morgan		Performance status: On target	

Objective: WAO/NATIONAL: The Effectiveness of Local Planning Authorities in Wales (June 19)		
Action	14471	Target date 31/03/2020
Action promised	Local Planning Authorities improve the effectiveness of planning committees by: reviewing their scheme of delegation to ensure planning committees are focussed on the most important strategic issues relevant to their authority	
Comment	Officers have re-drafted the Council's Protocol – i.e. what needs to go to Committee etc. Discussion with Members and legal occurred during February and March with view of including the changes in the next Council AGM. Covid 19 meant however that further meetings with legal to finalise the document and for it to go to CRWG have not occurred. Further meetings between legal, officers and Members have occurred and the documentation is being worked up for presentation at CRWG alongside other Constitutional matters to be presented by the Head of Legal. This is targeted to be ready by end of 2020.	
Service Head: Llinos Quelch		Performance status: On target
Action	14514	Target date 31/03/2020
Action promised	Local Planning Authorities: improve transparency and accountability by holding planning meetings at appropriate times, rotating meetings to take place in areas which are subject to proposed development, webcasting meetings and providing opportunities for stakeholders to address committee meetings	
Comment	Webcasting already undertaken. Stakeholders are already allowed to speak. Webcasting negates the need to move planning committee around. Varying the times would be problematic as the meetings quite often last a whole day – therefore moving them to afternoon or evening would not be practical. This would need further investigation as to the benefits for change – further corporate and democratic discussion will therefore be needed (HR etc.). This was originally planned to occur and be concluded in time for the Council AGM in May 2020, however deferred meeting in March and the Covid outbreak mean that this item will not now be considered until much later in 2020/21. However, as a result of Covid we now hold virtual/remote Planning Committee meetings. This allows third parties to also join the meetings to provide their representations remotely. This reduces the justification for moving the location of Committee meetings or indeed the time	
Service Head: Llinos Quelch		Performance status: On target
Action	14519	Target date 31/03/2021
Action promised	Local Planning Authorities improve the effectiveness of planning committees by enforcing the local planning authorities' standards of conduct for meetings	
Comment	This is already picked up and reported as part of the APR annually. Officers take back cases that go to appeal and discuss with Committee Members. Officers would speak to legal (Monitoring Officer) if such decisions became an issue. No further action needed therefore at present. Keep monitoring annually as part of APR	
Service Head: Llinos Quelch		Performance status: On target

CLOSED (@ EOY 19/20)

Action	14469	Target date 31/03/2020
Action promised	Local Planning Authorities: test current engagement & involvement practices & consider full range of other options; use 'Place Plans' as a vehicle to engage & involve communities & citizens; and improve transparency & accountability	
Comment	Action reported as complete in Q2.	
Service Head: Llinos Quelch		Performance status: On target
Action	14470	Target date 31/03/2020
Action promised	Local Planning Authorities: review their building control fee regimes to ensure the levels set, better reflect the actual cost of providing these services and make the service self-funding	
Comment	BC fees are re-considered every year. Discussion internally has identified that a further review should take place during 2020/21. The LA is presently reviewing areas of BC where we could and should charge and when would be an appropriate time to introduce these additional charges (demolition charges, searches and compliance charges). Recognise however that there are certain areas cannot charge.	
Service Head: Llinos Quelch		Performance status: On target
Action	14472	Target date 31/03/2020
Action promised	Local Planning Authorities: set a clear ambitious vision that shows how planning contributes to improving wellbeing	
Comment	In terms of setting a vision and appropriate measures and their monitoring the LA consider that this is something that should be agreed nationally or regionally. The Chief Planning Officers through the Planning Officers Society Wales are now discussing addressing this matter and are collaborating with the RTP1 to work on and discuss a way forward with the Commissioner. The delivery of this action is therefore now in the hands of that national sub-group. Meetings are yet to occur and likely now to be further impacted by Covid 19.	
Service Head: Llinos Quelch		Performance status: On target
Action	14513	Target date 31/03/2023
Action promised	Local Planning Authorities: use 'Place Plans' as a vehicle to engage & involve communities & citizens in planning choices and decision making	

Comment	Following the adoption of LDP 2 the forward Planning Team will look at feasibility and interest. Explore potential guidance and the scope for community support at that time. Until which time all resources are focused on the LDP. The LDP is due for adoption late 2021. This action will therefore only be feasible (with current resources) from 2022 onwards. The Team are able to however provide some high level advice if approached but would not be able to fully engage in the process at this time. Any Place Plans must accord with the LDP and therefore any to be produced at this stage would need to make sure they align with LDP 2. With LDP 2 still emerging and yet to be examined it would be more difficult for meaningful place plans to be produced. Target date therefore reflect this. Further discussions will be needed in 2020/21 as to how the Covid situation might change this approach.		
Service Head: Llinos Quelch	Performance status: On target		
Action	14515	Target date	31/03/2021
Action promised	Local Planning Authorities: improve capacity by working regionally to integrate services to address specialism gaps		
Comment	Recognise that across Wales there are specialism gaps – Carmarthenshire are therefore already working with other LPAs. In terms of Built Heritage we provide assistance to BBNPA. We have a temporary SLA with Powys in relation to Ecology input (in place November 2019). We undertake the majority of work in relation to Minerals planning applications and monitoring of mineral sites to 9 LAs. We are currently discussing regionally what the issue to include in an SDP might be. We meet regionally to commission evidence work for LDPs and have a number currently commissioned. Regional discussions have been on hold since start of March due to Covid but will resume in the summer of 2020 particularly as more advice comes through from WG		
Service Head: Llinos Quelch	Performance status: On target		
Action	14516	Target date	31/03/2021
Action promised	Local Planning Authorities: improve capacity by working regionally to develop joint supplementary planning guidance		
Comment	Needs to be further explored as part of regional work that is on-going with regards to any opportunities for joint SPGs as our LDP 2 progresses through to adoption. Too early to determine as yet if any SPGs are feasible - though areas where we have jointly commissioned may be an opportunity for such SPGs		
Service Head: Llinos Quelch	Performance status: On target		
Action	14517	Target date	31/03/2023
Action promised	Local Planning Authorities: improve capacity by working regionally to develop future local development plans regionally and in partnership with other local planning authorities.		
Comment	Discussions re LDPs would need to be part of Review 3. Half those in SW Region already significantly progressed with LDP 2 with no option due to drop dead date to change tact at this point in time. Much would depend on the progress and membership of any emerging SDP and the subsequent scope of any LDP lites in such SDP areas. Discussion deferred at end of year due to Covid 19. Covid itself may impact the way forward - await further info from WG.		
Service Head: Llinos Quelch	Performance status: On target		
Action	14518	Target date	31/03/2020
Action promised	Local Planning Authorities improve the effectiveness of planning committees by revising reporting templates to ensure they are clear and unambiguous to help guide decision making & reduce the level of officer recommendations overturned		
Comment	The Committee Report template was reviewed and changed this year and put in place July 2019. Members have been briefed prior to bringing the new template in. But the IIA will result in further changes in 2020.		
Service Head: Llinos Quelch	Performance status: On target		
Action	14520	Target date	31/03/2020
Action promised	Local Planning Authorities: provide planning committee members with regular and appropriate wellbeing training and support to help deliver their wider responsibilities		
Comment	Officers awaiting discussion at national level regarding the Act (RTPI and Chief Planning Officers meeting with the Commissioner in next few months) to assist in guiding the LPAs approach generally including that of Member Training. Target date may need to be amended to reflect those discussions once timescales for feedback known. Meetings have not as yet occurred. This work will now need to be undertaken during 2020/21 and may be impacted by Covid 19.		
Service Head: Llinos Quelch	Performance status: On target		
Action	14521	Target date	31/03/2020
Action promised	Local Planning Authorities: set appropriate measures for their administration of the planning system and the impact of their planning decisions on wellbeing; and annually publish these performance measures to judge planning authorities impact on wellbeing		
Comment	Officers awaiting discussion at national level regarding the Act (RTPI and Chief Planning Officers meeting with the Commissioner in next few months) to assist in guiding the LPAs approach generally including. Target date may need to be amended to reflect those discussions once timescales for feedback known. No meetings to date.		
Service Head: Llinos Quelch	Performance status: On target		

Objective: WAO: Scrutiny: Fit for the Future? Review (June 18)			
Action	13629	Target date	20/05/2020 (original target 31/12/2019)
Action promised	Review the overview and scrutiny committee structure to ensure it is able to meet current and future challenges		
Comment	The Scrutiny Structure was reviewed by the Constitutional Review Working Group and recommendations on an updated Scrutiny Structure was put before Council on the 22nd October 2020 which were adopted.		
Service Head: Linda Rees Jones	Performance status: On target		