

MONDAY, 14TH DECEMBER, 2020

TO: ALL MEMBERS OF THE AUDIT COMMITTEE

I HEREBY SUMMON YOU TO ATTEND A VIRTUAL MEETING OF THE AUDIT COMMITTEE WHICH WILL BE HELD AT 10.00 A.M. ON FRIDAY, 18TH DECEMBER, 2020 FOR THE TRANSACTION OF THE BUSINESS OUTLINED ON THE ATTACHED AGENDA.

Wendy Walters

CHIEF EXECUTIVE

Democratic Officer:	Michelle Evans Thomas
Telephone (Direct Line):	01267 224470
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NOTE:

If you require Welsh to English simultaneous translation during the meeting please telephone 0330 336 4321 Passcode: 37808685# (For call charges contact your service provider)

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

AUDIT COMMITTEE

**MEMBERSHIP:
8 COUNCIL MEMBERS AND 1 EXTERNAL VOTING MEMBER**

PLAID CYMRU GROUP – 4 MEMBERS

1. Councillor Kim Broom
2. Councillor Karen Davies
3. Councillor Gareth John
4. Councillor Elwyn Williams

LABOUR GROUP – 2 MEMBERS

1. Councillor Tina Higgins [Chair]
2. Councillor Bill Thomas

INDEPENDENT GROUP – 1 MEMBER

1. Councillor Giles Morgan [Vice-Chair]

NEW INDEPENDENT GROUP – 1 MEMBER

1. Councillor Louvain Roberts

EXTERNAL VOTING MEMBER (1)

Mrs Julie James

AGENDA

1. APOLOGIES FOR ABSENCE.
2. DECLARATIONS OF PERSONAL INTERESTS.
3. INTERNAL AUDIT PLAN UPDATE 2020/21. 5 - 12
4. AUDIT COMMITTEE FORWARD WORK PROGRAMME. 13 - 20
5. PROGRESS REPORTS:
 - 5.1 CARMARTHENSHIRE MUSEUMS ACTION PLAN UPDATE. 21 - 32
6. PROGRESS ON REGULATORY REPORT RECOMMENDATIONS. 33 - 54
7. MINUTES OF RELEVANT GROUPS TO THE AUDIT COMMITTEE: 55 - 58
 - 7.1 MINUTES OF THE RISK MANAGEMENT STEERING GROUP; 59 - 62
 - 7.2 MINUTES OF THE CORPORATE GOVERNANCE GROUP; 63 - 70
 - 7.3 MINUTES OF THE GRANTS PANEL. 71 - 76
8. TO SIGN AS A CORRECT RECORD THE MINUTES OF THE MEETING OF THE AUDIT COMMITTEE HELD ON THE 16TH OCTOBER, 2020. 77 - 82

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Audit Committee

18 December 2020

Subject and Purpose: Internal Audit Plan 2020/21 Update		
Recommendations / key decisions required: To receive the report.		
Reasons: Regular progress report to be presented to each Audit Committee meeting.		
Relevant scrutiny committee to be consulted: N/A		
Exec. Board Decision Required: N/A Council Decision Required: N/A		
EXECUTIVE BOARD MEMBER PORTFOLIO HOLDER: Cllr D Jenkins		
Directorate: Corporate Services Name of Head of Service: Helen Pugh Report Author: Helen Pugh	Designation: Head of Revenues and Financial Compliance	Tel No.: 01267 246223 E Mail Address: HLPugh@cararthenshire.gov.uk

Executive Summary

Audit Committee

18 December 2020

Internal Audit Plan 2020/21 Update

1. BRIEF SUMMARY OF PURPOSE OF REPORT.

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

Internal Audit Plan 2020/21 Progress Report

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

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 2020-23	AC 29-07-20	Internal Audit Unit

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INTERNAL AUDIT PLAN 2020/21											
2020/21	% Plan Completion to Date	52.0%									
Job No	Departments	Days Planned	Pre. Audit Meeting	Terms of Reference Issued	Commenced	Field Work Complete	Draft Report Issued	Complete / Final Report Issued	Status		Assurance Rating / Engagement Type
	Fundamentals										
1120002	Council Tax	15									
1120003	Creditors	40	*	*	*				Commenced		
1120004	Income	20	*	*	*				Commenced		
1120005	Main Accounting	20	*	*	*				Commenced		
1120006	National Fraud Initiative (NFI) - Mortality Screening	10									
5120007	Payroll	40	*	*	*				Commenced		
1120008	Treasury Management - Loans & Investments (CCC and DPF)	15	*	*	*	*			Field Work Complete		
	Total Audit Days for Fundamentals	160									
	Corporate Governance Assurance										
2120001	Annual Governance Statement/Corp Gov Arrangements	20									
2120002	Performance Management	20									
2120003	Risk Management Arrangements	15									
2120004	Wellbeing of Future Generations Act	20	*						Pre Audit Meeting		
2120005	Whistleblowing	15	*	*	*				Commenced		
	Total Audit Days for Corporate Governance Assurance	90									
	COVID-19										
3120001	COVID-19 Decision-Making Process	20	*	*					Terms of Reference Issued		
3120002	COVID-19 Expenditure	20	*						Pre Audit Meeting		
5420002	COVID-19 Systems and Processes (advice and support)	50	N/A	N/A	*	*	/	*	Complete		Consultation
3120003	COVID-19 Systems and Processes (Evaluation and recs)	40	*	*	*				Commenced		
5420001	COVID-19: Free School Meals Payment Process	20	N/A	N/A	*	*	/	*	Complete		Consultation
3120004	COVID-19 Self Isolation Payment Process	10	*	N/A	*				Commenced		Consultation
	Total Audit Days for COVID-19	160									
	Corporate Review Work										
4120005	Local Authority Trading Companies	20									
4120006	Procurement	30	*	*	*				Commenced		
4120007	Safeguarding	20									
4120008	Staffing Matters (e.g. DBS Overtime Flexi Leave)	20	*	*	*				Commenced		
	Total Audit Days for Corporate Review Work	90									
	Counter Fraud										
1120007	National Fraud Initiative (NNDR) - review of COVID-19 Grants	20	*	N/A	*	*	*	*	Complete		Consultation
1120009	Proactive Fraud Testing	20	*	N/A	*				In Progress		
1120010	Fraud Prevention, Detection and Investigation	30	N/A	N/A	*				In Progress		
	Total Audit Days for Counter Fraud Work	70									
	Grants & Certification										
5120005	Burry Port Harbour	10	*	N/A	*	*	/	*	Complete		Accounts Return
5220001	Children & Communities Grant	25	*	*	*	*	*	*	Complete		Grant Certification
4120003	Education Improvement Grant - EOY	10	*	*	*	*	*	*	Complete		Grant Certificate
5220003	Education Improvement Grant - Q3	10	*	*	*				Commenced		
5220004	Education Improvement Grant - Q4	10									

6120005	Enable Grant	10	*	*	*	*	*	*	Complete	Grant Certificate
6120004	HSG - Homelessness	12	*	*	*	*	*	*	Complete	Grant Certificate
6120004	HSG - Rent Smart Wales	10	*	*	*	*	*	*	Complete	Grant Certificate
6120004	HSG - Supporting People	13	*	*	*	*	*	*	Complete	Grant Certificate
5220005	Local Authority Education Grant	20	*	*	*	*	*	*	Complete	Grant Certificate
5220006	Other Grants	20	*	*	*	*	*	*	Complete	Grant Certificate
5220007	Post 16 Grant	10	*	N/A						
4120004	Pupil Deprivation Grant - EOY	10	*	*	*	*	*	*	Complete	Grant Certificate
5220008	Pupil Deprivation Grant - Q3	10	*						Pre Audit Meeting	
5220009	Pupil Deprivation Grant - Q4	10								
5120002	Trust Funds - Arbour Stephens	5	*	*	*	*	*	*	Complete	Certificate
5120004	Trust Funds - Dyfed Welsh Church Fund	5	*	*	*	*	*	*	Complete	Certificate
5120003	Trust Funds - Minnie Morgan	5	*	*	*	*	*	*	Complete	Certificate
5120001	Trust Funds - Oriel Myrddin	5	*	*	*	*	*		Draft Report Issued	
5220002	Wales Pension Partnership	5	*	N/A	*	*	*	*	Complete	Accounts Return
5220010	Regional Development Co-ordinator Grant	5	*	*	*	*	*	*	Complete	Grant Certificate
	Total Audit Days for Grants & Certification	220								
	Chief Executive's Department (not incl IT)									
8120001	Property Management (Follow Up)	10								
1120001	Departmental Expenditure (CEX)	10	*	*	*	*	*		Draft Report Issued	
8120002	Pentre Awel	10								
8120003	Net Zero Carbon	10								
8120004	Regeneration Strand	10								
	Total Audit Days for Chief Executive's Department (not incl IT)	50								
	Chief Executive's Department: IT									
4120001	Covid-19 CAATS Analysis (FSM)	10	*	*	*	*	*	*	Complete	Consultation
8220001	Office 365, including TEAMS and Sharepoint	15	*	*	*				Commenced	
8220002	Bring Your Own Device	5								
8220003	Cyber Security	10								
	Total Audit Days for Chief Executive's Department: IT	40								
	Communities									
6120001	Departmental Expenditure: Leisure	15	*	*	*	*	*	*	Complete	Acceptable
6120002	Departmental Expenditure: Housing	10	*	*	*	*	*	*	Complete	Acceptable
6120003	Departmental Expenditure: Social Care	10	*	*	*	*	*	*	Complete	Acceptable
8320001	Sport Wales/Active Communities	10								
8320002	Ski Centre Follow Up	5	*	*	*	*	*	*	Complete	High
8320003	Financial Assessments & Collections	10	*	*	*	*	*		Draft Report Issued	
	Total Audit Days for Communities	60								
	Corporate Services									
5120006	Departmental Expenditure (Corp Serv)	10	*	*	*	*	*		Draft Report Issued	
8420001	Financial Management Other	10	*	*	*	*	*	*	Complete	Consultation
	Total Audit Days for Corporate Services	20								
	Education & Children									
4120002	Departmental Expenditure (Education)	10	*	*	*	*	*	*	Complete	
8520001	Fostering	10	*						Pre Audit Meeting	
8520002	School Meals/ParentPay	10								
8520003	School Questionnaires	20	*	*	*	*	/	*	Complete	
8520003	School Visits/Reviews	20	*	*	*				Commenced	

8520004	Specialist Provision Units	10	*	*	*	*			Field Work Complete		
	Total Audit Days for Education & Children	80									
	Environment										
8620001	Ash Dieback	10									
7120001	Departmental Expenditure (Environment)	20	*	*	*	*	*		Draft Report Issued		
8620002	Flood Defence & Coastal Protection	10	*	*	*				Commenced		
8620003	Property Maintenance	10	*	*	*				Commenced		
8620004	Waste Management & Recycling Obligations	10									
	Total Audit Days for Environment	60									
	Total Approved Plan Days	1100	% Complete to Date		52.0%						

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Audit Committee

18 December 2020

Subject and Purpose: Audit Committee Forward Work Programme		
Recommendations / key decisions required: To receive the report.		
Reasons: Annual Forward Work Programme to inform Members of the expected Agenda Items for the 2020/21 Audit Committee Cycle.		
Relevant scrutiny committee to be consulted: N/A		
Exec. Board Decision Required: N/A Council Decision Required: N/A		
EXECUTIVE BOARD MEMBER PORTFOLIO HOLDER: Cllr D Jenkins		
Directorate: Corporate Services Name of Head of Service: Helen Pugh Report Author: Helen Pugh	Designation: Head of Revenues and Financial Compliance	Tel No.: 01267 246223 E Mail Address: HLPugh@carmarthenshire.gov.uk

Executive Summary

Audit Committee

18 December 2020

Audit Committee Forward Work Programme

To provide Members with a Forward Work Programme for the 2020/21 Audit Committee cycle to ensure that all appropriate Committees have a published up to date programme owned by the Committee Members.

The following Report is attached:
Forward Work Programme

DETAILED REPORT ATTACHED?

YES

IMPLICATIONS

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

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

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

CONSULTATIONS

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

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

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

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

THERE ARE NONE

Title of Document	File Ref No.	Locations that the papers are available for public inspection

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Subject area and brief description of nature of report	Lead Department	Responsible Officer	Dec-20	Mar-21	Jun-21	Sep-21
Appointment of Audit Committee: - Chair - Vice Chair	Corporate Services	Audit Committee			✓	
Annual Audit Report	Corporate Services	Head of Revenues and Financial Compliance			✓	
Forward Work Programme	Corporate Services	Head of Revenues and Financial Compliance	✓	✓	✓	✓
Internal Audit Plan Update	Corporate Services	Head of Revenues and Financial Compliance	✓	✓	✓	✓
Internal Audit indicative three year plan	Corporate Services	Head of Revenues and Financial Compliance		✓		
Assurance Reviews: - Fundamental financial systems - 3* reports	Corporate Services	Head of Revenues and Financial Compliance	As required			
Progress Report - Delivery of External Audit Recommendations	ICT & Policy	Performance Planning Section	✓			
Progress Report - Delivery of Internal Audit Recommendations	Corporate Services	Head of Revenues and Financial Compliance		✓		
Internal Audit Progress Updates requested by Audit Committee:	Corporate Services	Head of Revenues and Financial Compliance	As required			
Progress reports as requested by Audit Committee - Strategic Commissioning of Accommodation Services for Adults with Learning Disabilities - Museums - Schools' Deficits and Surpluses	Communities Education & Children	Head of Mental Health and Learning Disabilities Head of Leisure Head of Education and Inclusion Services		✓		
Approval of Audit Charter	Corporate Services	Head of Revenues and Financial Compliance	As required			
Approval of Strategies / Rules & Regulations	Corporate Services	Head of Revenues and Financial Compliance	As required			
Annual Anti-Fraud and Corruption Report	Corporate Services	Head of Revenues and Financial Compliance				✓
Receive the Corporate Risk Register	Corporate Services	Head of Revenues and Financial Compliance		✓		✓
Opportunity for Members to discuss Risks	Corporate Services	Risk owners		✓		✓
Statement of Accounts including Annual Governance Statement for Carmarthenshire CC - To be received - To be approved	Corporate Services	Head of Financial Services			✓	✓
Statement of Accounts including Annual Governance Statement for Dyfed Pension Fund - To be received - To be approved	Corporate Services	Head of Financial Services			✓	✓
Burry Port Harbour Accounting Statement - To be received - To be approved	Corporate Services	Head of Financial Services			✓	✓
Audit enquiries to those charged with governance and management for: - Carmarthenshire CC - Dyfed Pension Fund	Corporate Services	Head of Financial Services				✓
Single Tender Action	Corporate Services	Director of Corporate Services	As required			
Minutes for noting: - Grants Panel - Corporate Governance Group - Risk Management Steering Group	Corporate Services	Head of Revenues and Financial Compliance Head of Financial Services	✓	✓	✓	✓
Audit Wales: - Audit Plan Update	Corporate Services	Audit Wales		✓	✓	✓
- Financial Statements – ISA260 Report presented to those charged with Governance in relation to the Statement of Accounts for: o Carmarthenshire CC o Dyfed Pension Fund						✓
- Letter of Representation o Carmarthenshire CC o Dyfed Pension Fund						✓
- Annual Audit Letter: o Carmarthenshire CC o Dyfed Pension Fund				✓		
- Auditor General's fees o Financial Audits: § Carmarthenshire CC § Dyfed Pension Fund o Performance Audit				✓		

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Audit Committee Training / Informal Sessions

Subject area and brief description of session	Lead Department	Responsible Officer(s)	Dates															
			Jul-17	Dec-17	Mar-18	Jul-18	Sep-18	Dec-18	Mar-19	Jul-19	Sep-19	Jan-20	Mar-20	Jun-20	Sep-20	Dec-20	Mar-21	Jun-21
Audit Committee - Self Assessment	Corporate Services	Director Corporate Services Head of Revenues and Financial Compliance	✓															
Meeting with Auditors	Corporate Services	Director Corporate Services Head of Revenues and Financial Compliance		✓		✓		✓			✓		✓		✓		✓	
Risk Register	Corporate Services	Director Corporate Services Head of Revenues and Financial Compliance			✓				✓			✓	✓		✓		✓	
Statement of Accounts & Annual Governance Statement	Corporate Services	Director Corporate Services Head of Revenues and Financial Compliance				✓				✓				✓				✓
Audit Committee Development Session	Corporate Services	Director Corporate Services Head of Revenues and Financial Compliance					✓											
Fraud Awareness	Corporate Services	Director Corporate Services Head of Revenues and Financial Compliance													✓			
Category Management	Corporate Services	Director Corporate Services Head of Revenues and Financial Compliance	✓															
Local Authority Trading Companies	Corporate Services	Director Corporate Services Head of Revenues and Financial Compliance														✓		

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AUDIT COMMITTEE 18TH DECEMBER 2020

CARMARTHENSHIRE MUSEUMS ACTION PLAN UPDATE

Purpose: To note the progress in implementing the Carmarthenshire Museums Action Plan

RECOMMENDATIONS:

To approve progress and continued work objectives

REASONS:

- This report to the Audit Committee is the 5th update on the 2016/17 Museum Service Action Plan demonstrating progress achieving 4 recommendations made by Internal Audit recorded as 26 measurable actions.
- The Audit Committee unanimously agreed on 24 January 2020 (moved from 13 December 2019) to receive and note the 4th progress report and that a further report should be submitted in 12 months.
-

Relevant scrutiny committee to be consulted: Not applicable

Exec Board Decision Required

NA

Council Decision Required

N/A

EXECUTIVE BOARD MEMBER PORTFOLIO HOLDER: Cllr P Hughes Griffiths

Directorate: Communities

Name of Head of Service:

Ian Jones

Report Author: Morrigan
Mason

Designations:

Head of Leisure

**Museums Development
Manager**

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**EXECUTIVE SUMMARY
AUDIT COMMITTEE
18th December 2020**

CARMARTHENSHIRE MUSEUMS ACTION PLAN UPDATE

1. BRIEF SUMMARY OF PURPOSE OF REPORT.

During an extraordinary year, Carmarthenshire Museums has continued to implement recommendations made by Internal Audit and is achieving additional strides that will positively impact the Action Plan (attached). Of the 26 actions, 14 have been completed and 12 are in progress. As has been previously reported and noted by the Committee, the museum service operates within resource constraints yet has several positive achievements to report.

As an overview, it can be helpful to group those actions in the plan described as 'in progress' by our method:

1. A project-based approach, requiring an injection of internal and external funding.
2. Activity that the museum service is progressing in-house within available resources.

No.	1. A project approach	2. Carried out as part of normal service activity
1.5 and 3.4	Collections review	
2.4		Baseline condition check for all objects and thereafter annually.
2.6	Photograph artefacts and upload to collections database	
2.8		Ensure artefacts are labelled
2.9	Deliver a solution to stored museum collections	
3.5 and 3.6	Assess the value of collections (linked to 1.5)	
4.3-4.6		Review documentation associated with active loans to and from the authority, authorised by the museum service.

Actions within the project column present an opportunity to deliver well-being objectives by creating multiple improvements in access to, and safeguarding, heritage for the long term. We are preparing a case for a major scheme associated with action 2.9, which could also address all the other actions. This will be subject to funding and, in the current climate, the availability of financial support is uncertain. Should the major project not progress as hoped, we will seek smaller project funding to deliver the outcomes associated with each action.

Other associated positive achievements since January 2020 include:

- Watertightness and a better environment to preserve collections at Carmarthenshire Museum because of Council investment.
- Better security and environment to preserve collections at the new Museum of Speed because of Council and external investment.
- Hundreds of records checked for accuracy on the collections management system while working from home.
- Seeking to procure a specialist collections management system and move to a cloud/SaaS approach to improve security and data management standards.
- Stored collections relocated during building works have been expertly checked, documented and re-packed to improve conservation standards.
- Compliance with conditions of the Museums Firearms Licence.

In conclusion, standards in premises, collections care and management continue to increase across the museum service as we progress with setting in place the infrastructure, systems and working practices to deliver the long-term changes recommended by Internal Audit.

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: Ian Jones

Head of Leisure

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

1. Legal

Appropriate advice from Legal, Property Management, Finance, Health & Safety, Internal Audit and Risk to ensure revised procedures are legally compliant.

2. Finance

Significant focus of review to ensure that Financial Procedure Rules are fully complied with.

3. ICT

New technology to be introduced where this improves control.

4. Risk Management Issues

Increased focus on evaluating exposure to risk and addressing weaknesses identified.

5. Physical Assets

Leisure to work closely with Property Services within the Environment Department to ensure proper arrangements for maintenance and control of physical assets.

CONSULTATIONS

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

Signed: Ian Jones

Head of Leisure

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.

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

Title of Document	File Ref No.	Locations that the papers are available for public inspection
Audit Committee Minutes, 24 Jan 2020		Agenda for Audit Committee on Friday, 24th January, 2020, 10.00 am (gov.wales)
Internal Audit – Museums – Final Report 2016/17		\\ntcarmcc\cfp\Leisure & Culture\Cultural Services\Museums\Museums General\Audit\Audit 2016-17\Final Report 16-17 Museums.docx
Internal Audit – Summary Review 2018/19		\\ntcarmcc\cfp\Leisure & Culture\Cultural Services\Museums\Museums General\Audit\Audit 2018-19\Museums Report 18-19.docx

Carmarthenshire Museums: Action Plan in response to Internal Audit (2016/17)

Prepared by Morigan Mason, Museums Development Manager (March 2017)

Reviewed December 2017; June 2018; June 2019, Jan 2020, December 2020.

Proposed Action	Milestone Tasks	Responsible Person	Partners to consult / engage	Target Date	Success Indicator	Progress
R1. All documented procedures need to be completed to ensure all key functions undertaken on a day to day basis are included and that they are fully compliant with the requirements of Financial Procedure Rules; Subsequently training of all staff should be undertaken to ensure they are conversant with the procedures.	1.1 Leisure BSU Officer to support the review of documentation relating to financial procedures, which are published in operational manuals for each staffed museum site.	Business Retail Officer	Leisure Business Support Unit	June 2017	Audit review and a programme of independent 'spot checks'.	COMPLETED. Lindsey Roberts reviewed documentation with Marion Male in May/June 2017. New cash handling procedures introduced at museum sites March 2018 to comply with Financial Procedures.
	1.2 Documentation Procedural Manual due for revision by June 2017 for Museum Accreditation.	Museums Development Manager with input from Curator	Museums Archives Libraries Division of Welsh Government	June 2017	Museum Accreditation.	COMPLETED. All museum policies and procedures relating to collections management reviewed and updated by October 2017. Full Accreditation status awarded to Carmarthenshire County Museum and Parc Howard Museum. The Accreditation Scheme sets nationally agreed standards for UK museums. To qualify, museums must meet standards on how they are managed, for the services they offer and on how they care for collections.
	1.3 Acquisition and Disposal Policy for revision for Museum Accreditation.	Museums Development Manager with input from Curator	MALD Welsh Government	June 2017	Museum Accreditation.	COMPLETED. As above.
	1.4 Communicate procedures through staff training.	Museums Development Manager with input from Curator		March 2017	Numbers of staff attending training.	COMPLETED Training of all current staff completed and procedures in place for training new appointments through the induction process.
	1.5 Collections review.	Museums Development Manager	External consultant.	Reviewed from June 2017 to	Rationalisation policy and plan completed.	IN PROGRESS January 2020.

Carmarthenshire Museums: Action Plan in response to Internal Audit (2016/17)

Prepared by Morigan Mason, Museums Development Manager (March 2017)

Reviewed December 2017; June 2018; June 2019, Jan 2020, December 2020.

			Other museums and stakeholders.	March 2020 for completion of trial.	Fully documented and completed trail rationalisation of the Firearms collection, to ensure the systems in place are robust, transparent and ethical.	This requires significant resources to follow a transparent and ethical process. We currently depend on volunteers and are piloting a firearms and geology collection review, which has been documented and external valuations sought where applicable. Disposal recommendations will be made by March 2020 in preparation for wider consultation. December 2020 No progress due to service disruption during building works. No volunteering due to COVID19.
2. Collection documentation A comprehensive, up to date register should be maintained of all assets held at the Authority's Museums. (Also see R3) This should incorporate a list of all assets valued at over £10k in order to facilitate the Annual Asset Verification exercise undertaken by	2.1 Undertake a collections risk assessment to include 'disassociation' (the separation of object from museum record or provenance).	Museums Development Manager with input from Curator	Sarah Paul ACR (MALD Welsh Government advisor)	March 2017	Risk assessment submitted as Appendix to Carmarthenshire Museums Strategic Plan 2017-2022.	COMPLETED. Risk assessment of collections in store completed Jan. 2017. This informed the Carmarthenshire Museum Service Strategic Plan 2017-2022 approved by Executive Board 31 July 2017. Some further work has been undertaken as part of the <i>Development of Carmarthenshire Museum Service Collections Centre</i> study by John Marjoram and Halahan Associates indicating that large parts of the collection have been acquired historically with no record of provenance (e.g., Parc Howard transfer from Llanelli Borough Council and the Carmarthenshire Antiquarian Society collection which founded the County Museum collection).
	2.2 Any documentation backlog will be identified through the Accreditation return process and an action plan drawn up to address it.	Curator		June 2017		COMPLETED. Documentation backlog plan approved by Museum Accreditation panel 10/5/18.

Carmarthenshire Museums: Action Plan in response to Internal Audit (2016/17)

Prepared by Morigan Mason, Museums Development Manager (March 2017)

Reviewed December 2017; June 2018; June 2019, Jan 2020, December 2020.

<p>the Corporate Property Section,</p> <p>The list of assets should be subject to physical check by an independent person at least on an annual basis.</p> <p>A record of such checks should be maintained.</p> <p>It is important that the accession register is maintained up to date and that the location of all volumes of the accession register are known.</p>	2.3 All assets known to be over £10k are identified on the Collections Management System	Curator				COMPLETED. 54 items with a known value above £10K identified on Corporate Asset list, cross-referenced to collections management system.
	2.4 The list of assets will undergo a physical check as part of a condition survey and thereafter annually.	Conservation Officer.	Independent assessment.	May 2019 Revised to between 2023 and 2027, subject to capacity.	Full collection audit completed, movement control procedures established and adhered to, and annual 'spot check' programme in place.	IN PROGRESS January 2020 update. A solution continues to be explored to identify resources from external sources to fund this activity as part of a wider collections access programme. Current progress has achieved 247 artworks audited from a museum collection of 38,000 accessioned items. Staff capacity remains the obstacle to progress. December 2020 Approximately 20,000 objects in store at Carmarthenshire Museum temporarily relocated during building works. Boxed social history collection scheduled to be checked and re-packed in conservation grade containers by April 2021.
	2.5 Digitise all museum object records on to CALM collections management database. Subject to funding for 9 month fixed term post.	Museums Development Manager with input from Curator		Funding May 2017. Digitisation complete by March 2018. Completed July 2019.	Documentation Assistant post appointed. Backlog of paper records digitised.	COMPLETED Internal 'Risk Management' funding has subsidised a post for 17 months to digitise all paper records on to the museums' collections database. The post will terminate on 7/07/19. 5775 new object records have been created, discrepancies rectified and locations updated.
	2.6 Photograph all objects and attach images to CALM database for identification.	Curator	Axiell (CALM)	Revised from 2020 to 2022 in line with other long-standing tasks.	Numbers of objects photographed and uploaded to collections management system.	IN PROGRESS January 2020 update. Approximately 5.7% of the collection has been photographed and images uploaded to the collections database. Staff capacity and physical resources remain the obstacles to progress.

Carmarthenshire Museums: Action Plan in response to Internal Audit (2016/17)

Prepared by Morigan Mason, Museums Development Manager (March 2017)

Reviewed December 2017; June 2018; June 2019, Jan 2020, December 2020.

						December 2020. Some limited progress.
	2.7 Identify secure electronic back-up system to replace requirement for traditional Accession Register.	Curator	IT CCC Archives	Jan 2018	New documentation / digitisation procedures in place.	COMPLETED The secure collections management database meets the authority's security and recovery standards in the event of a disaster. Traditional hard copy Accession Registers will continue to be retained to ensure continuity of established practice and 'back up' in the event of IT systems becoming outdated and key data lost during migration (See <i>Documentation Policy Statement 2017-2022</i> approved by EBM 24/10/2017).
	2.8 Ensure all objects are appropriately labelled.	Conservation Officer		2022	Numbers of object labelled.	IN PROGRESS January 2020 update. Ongoing store audits and spot checks indicate that 85% of the collection is correctly labelled with a unique identification number. December 2020. The remaining 15% relates to items at an off-site store, which will be assessed as part of the proposed collection review (action 1.5).
	2.9 Identify a solution to the county's museum collections storage crisis so that locations can be accurately recorded.	Senior Cultural Services Manager Museums Development Manager	Welsh Government; National Lottery Heritage Fund; other external funders; Business partnerships; Public consultation (community benefit).	2022	External funding. Match funding. Council approval to proceed. Successful delivery of the project.	IN PROGRESS January 2020 update. The concept for a Collections Centre has been in development since 2017. Headland Design & Associates successfully tendered for the contract to undertake public consultation and a business assessment for the scheme, due February 2020. December 2020 Contract to support development of funding pre-application to be completed March 2021.

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3. Valuation and insurance. As previously recommended 'Appropriate insurance cover should be put in place for all artefacts held at the Authority's museums. This should be undertaken in liaison with the Authority's Risk Management Section.' Museum collections fall under property cover only, which extends to replacing the component materials of an item.	3.1 Comprehensive risk assessment to identify the particular risks presented by each collection group.	Conservation Officer		Subject to post appointment.		COMPLETED Risks and needs of various collections groups identified in 'Development of Carmarthenshire Museum Service Collections Centre' study by John Marjoram and Halahan Associates. Draft complete report received 29/11/17. Museum Service Conservation Officer appointment made and commenced duties 6/11/2017.
	3.2 Put in place measures to manage risk (emergency planning).	Museums Development Manager with input from Curator and Conservation Officer	MALD CCC Archives Harwell	June 2017. Revised to Dec.2018. All training completed by November 2019.	Museum Accreditation. Staff training record. Schedule for reviewing and testing the plan.	COMPLETED January 2020 update. Salvage plan has been written and salvage training for museum staff will take place by March 2020. December 2020. Emergency Plan strengthened with completion of new Business Continuity Plan (arising from the COVID19 experience), and Operations Handbook for technical information in the event of an emergency.
	3.3 Commission security survey of all museum sites and other sites where collections are held, focusing on where there is a concentration of high value items and other identified risks.	Museums Development Manager	Dyfed Powys Police	April 2018	Report submitted to DMT.	COMPLETED Security reviews completed for Carmarthenshire County Museum and Parc Howard Museum (June 2017) by PC Rob Chapman, Designing Out Crime Officer, Dyfed Powys Police. New temporary museum store had security review Jan.2018.
	3.4 Collections rationalisation programme.	Museums Development Manager		2020		IN PROGRESS See item 1.5
	3.5 With the information from the above steps draw on internal and external expertise to	Curator with input from Conservation Officer	Auctioneers; a broad range of external specialists with	April 2019 Revised to 2022 in line	Numbers of items valued.	IN PROGRESS January 2020 update. 1.5% of collections re-valued since 2017. These include approximately 350 items of

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	provide valuations of items of high commercial value. Expertise is required because value is linked to provenance. In some cases, conservation value is preferable.		conservation and collections specialist knowledge.	with other long-standing tasks that require external resources to complete.	All risks insurance in place or a commitment to self-insure based on the value of the object, not its component materials.	Llanelly Pottery, up to 10 items for loan, and 80 firearms assessed by an independent valuer November 2019 as part of rationalisation process. December 2020. No further progress due to service disruption.
	3.6 Agree on an approach to valuing the remainder of the collection.	Curator	CCC Risk Management team.	Revised to 2022 in line with other long-standing tasks that require external resources to complete.	A 'value' attributed to the remainder of the collection.	IN PROGRESS The recommended framework to determine value is defined in the Cultural Heritage Agency Netherlands 'Assessing Museum Collections'.
4. Loans inward and outward A record of all items put out on loan / received on loan should be maintained, This should be subject to review at least on an annual basis, In addition, a loan agreement should be completed for each loan item	4.1 Formal procedures for loans to be reviewed.	Curator		June 2017	Museum Accreditation	COMPLETED Documentation Procedural Manual revision completed September 2017 (GE).
	4.2 Identify all active loans inward and outward dating back to the 1970s and review paperwork and ensure collections management database is current.	Curator		June 2017	All loan documentation accurate and current.	COMPLETED All loans paperwork has been reviewed to identify active and expired loans.
	4.3 Loan agreements that have expired or are due to expire in 12 months will be reviewed and renewed. And reviewed thereafter annually.	Curator		Revised from January 2018 to March 2020 to account for Museum of Speed collections.		IN PROGRESS January 2020 update. <u>Loans outward</u> (to other organisations): 45% of active loans - renewal process completed. 55% of active loans - renewal in negotiation. 100% of older loans (pre county reorganisation) reviewed and closed.

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which should be signed by both parties.						<p><u>Loans inward</u> (to Carmarthenshire Museums): 22% loans with AG-NMW in negotiation. 13% loans from individuals, unable to reach owner. 65% other older loans recorded as 'returned' in process of being reviewed to confirm closure.</p> <p>All active loans relating to the Museum of Speed are being reviewed separately and do not figure in the above. All are awaiting review in the context of the museum development.</p> <p>December 2020. No further progress due to service disruption.</p>
	4.4 Confirm values of loans inward and outward.	Curator	Auctioneers	Oct. 2017	All inward/outward loans valued and insurance cover confirmed.	<p>IN PROGRESS January 2020 update. All loans since 2017 are undertaken only with valuation information. Valuations of historic loans will be undertaken as part of action 4.3. December 2020. No further progress due to service disruption.</p>
	4.5 Contact institutions to confirm loan status, insurance cover and update paperwork.	Curator	Borrowing institutions.	Oct. 2017 Linked to action 4.3 – revised to March 2020.	All paperwork complete and current.	<p>IN PROGRESS January 2020 update. Currently as progress report for 4.3. Once this review process is completed, action 4.5 will also be completed.</p>
	4.6 Loans inward/outward condition checked annually.	Conservation Officer		February 2018 Revised to Oct 2019. Revised to March 2020.	Record of all checks.	<p>IN PROGRESS January 2020 update.</p> <ul style="list-style-type: none"> • All new loans can proceed only following a full condition report. • Loans outwards will be inspected on location by Museum staff by March 2020. • Museum of Speed loans inward and older loans that have been renewed will be

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						condition checked according to staff availability. December 2020. All Museum of Speed associated loans condition checked to inform communications with owners.
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Audit Committee 18 December 2020

Progress on Regulatory Report Recommendations

Purpose

To outline progress on regulatory report recommendations.

Recommendations/key decisions required

To receive the report.

Reasons:

Under the Local Government Act (Wales) 2011- Audit Committee are required to follow up regulatory report recommendation. Paragraphs 9.16 to 9.19.

Relevant scrutiny committee to be consulted: N/A

Exec. Board Decision Required: N/A

Council Decision Required: N/A

EXECUTIVE BOARD MEMBER PORTFOLIO HOLDER: Cllr M Stephens

Directorates: Chief Executive's / Corporate Services <u>Names of Heads of Service:</u> Noelwyn Daniel Helen Pugh <u>Report Authors:</u> Robert James	Designations: Head of ICT & Corporate Policy Head of Revenues and Financial Compliance Performance Planning Officer	Tel Nos. / E-Mail Addresses: 01267 246270 NDaniel@carmarthenshire.gov.uk 01267 246223 HLPugh@carmarthenshire.gov.uk 01267 224486 RNJames@Carmarthenshire.gov.uk
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Executive Summary
Audit Committee
18 December 2020

Progress on Regulatory Report Recommendations

To outline progress on regulatory report recommendations.

Introduction

1. The Council monitors regulatory report recommendations on its Performance Information Monitoring System (PIMS).
2. The report recommendations have also been included onto the CMT and PEB Dashboards for quarterly performance monitoring purposes.
3. There are two main types of report:
 - National reports. Sometimes recommendations made in these reports will not apply to Carmarthenshire e.g. the best practice being recommended may already be established practice.
 - Local reports specific to Carmarthenshire County Council.
4. Some regulatory report recommendations are extremely long and detailed. Some have been summarised for the purposes of this report. The original full recommendations can be viewed in the original reports. Links to these are provided at the end of this cover sheet.
5. In the Wales Audit Office report on Audit Committee Effectiveness (July 2018), there was a Proposal for Improvement that we should strengthen arrangements for tracking actions taken to address recommendations in regulatory reports. This process addresses this proposal.

DETAILED REPORT ATTACHED?

YES

IMPLICATIONS

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

Signed: Noelwyn Daniel, Head of ICT & Corporate Policy

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

1. Policy, Crime & Disorder and Equalities

The Wales Audit Office review of *Audit Committee Effectiveness* (July 2018) identifies the core functions of the Audit Committee, one of which concerns monitoring.

The report makes 5 Proposals for Improvement one of which concerns tracking progress:-

Proposal 3: 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.

2. Legal

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

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

CONSULTATIONS

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

Signed: Noelwyn Daniel, Head of ICT & Corporate Policy

1. Scrutiny Committee: 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

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

Title of Document	File Ref No.	Locations that the papers are available for public inspection
Audit Committee Effectiveness- Carmarthenshire County Council- July 2018.		Link
<u>The Local Government Act (Wales) 2011</u>		<u>The Local Government Act (Wales) 2011</u> Statutory Guidance Chapter 9
Regulatory Recommendations Log		Audit Wales website Care Inspectorate Wales (CIW) website



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	<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. 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.</p>		
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	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. Data Analytics used: - NFI - Datatank - AP Forensics - IDEA		
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	<p>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.</p> <p>We have a regional pathway to support in place with a consistent route to support services.</p> <p>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.</p>		
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	<p>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.</p> <p>We have a Regional Pathway to Support in place and this has been shared across the region.</p> <p>This pathway features in the priorities for the C&E Subgroup in terms of awareness raising.</p> <p>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.</p>		
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	<p>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.</p> <p>We are also currently conducting a TNA across the specialist providers to ensure groups 4 and 5 of the NTF are met.</p>		
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	<p>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.</p> <p>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.</p>		
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	<p>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.</p> <p>Therefore the Needs Assessment and Mapping of Services are still reflective and relevant to the current provision and need across the Region.</p> <p>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.</p>		
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	

Audit Committee

18 December 2020

Subject and Purpose: Minutes of relevant Groups to the Audit Committee		
Recommendations / key decisions required: Minutes to be received.		
Reasons: Terms of Reference for the Audit Committee stipulate that minutes of the Grants Panel, Corporate Governance Group and Risk Management Steering Group be received by the Audit Committee.		
Relevant scrutiny committee to be consulted: N/A		
Exec. Board Decision Required: N/A Council Decision Required: N/A		
EXECUTIVE BOARD MEMBER PORTFOLIO HOLDER: Cllr D Jenkins		
Directorate: Corporate Services Name of Head of Service: Helen Pugh Report Author: Helen Pugh	Designation: Head of Revenues and Financial Compliance	Tel No.: 01267 246223 E Mail Address: HLPugh@carmarthenshire.gov.uk

Executive Summary Audit Committee 18 December 2020

Minutes of Relevant Groups to the Audit Committee

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

The following Minutes are attached:

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

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

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

THERE ARE NONE

Title of Document	File Ref No.	Locations that the papers are available for public inspection

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RISK MANAGEMENT STEERING GROUP

Minutes of Meeting held on

Friday, 6th November 2020

Via Microsoft Teams

Members Present:			
Helen Pugh (Chair)	Corporate Services	Head of Revenues and Financial Compliance	HLP
Cllr David Jenkins	Executive Board Member (Corporate Services)	Executive Board Risk Champion	DJ
Paul Thomas	Chief Executive's	Assistant Chief Executive	PT
Sue P John	Education & Children	School Organisation & Admissions Manager	SPJ
Richard Davies	Communities	Communities (Social Care) Risk Champion	RD
Julie Standeven	Corporate Services	Principal Risk Officer	JS
John M Williams	Chief Executive's	ICT Operational Delivery Manager	JMW
Kelvin Howell	Environment	Building Manager (Minor Works)	KH
Mark Stephens	Marsh UK Ltd		MS

Item No	Subject	Action
1.	Apologies Steve Pilliner – Chair of Transport Risks Working Group Jonathan Fearn–Chair of Property & Liability Risks Working Group Richard Stradling – Communities (Leisure) Risk Champion Alan Howells – Environment Risk Champion Jackie Bergiers – Lead Business Partner (H&S), Chief Executive's Dylan W Jones – Principal Risk Officer, Corporate Services	
2.	Minutes of Last Meeting The Minutes of the Risk Management Steering Group Meeting held on Friday, 31 st July 2020 via Teams, were confirmed as a true record.	
2.1	Matters arising from Risk Management Steering Group Minutes.	
2.1.1	Alarm Receiving Centre Risk Management and Property Services discussions are ongoing. Update to be provided at next meeting.	JS
2.1.2	Fire Management Review Progress report not available. Update to be provided at next meeting.	JF
2.1.3	Water Safety Equipment Progress report not available. Update to be provided at next meeting.	JB/EC

2.1.4	Loss Prevention Property Surveys Awaiting confirmation of date for virtual meeting with the Authority's Property Insurers to discuss the requirements arising from the loss prevention surveys.	JS
3	Minutes of Property & Liability Risks Working Group Meeting – 7th October 2020 The Minutes were noted.	
3.1	Matters arising from Property & Liability Risks Working Group Minutes	
3.1.1	Property – Repair & Maintenance / Condition Surveys KH advised that difficulties continue due to Covid-19 related issues. Update to be provided at next meeting.	JF/KH
3.1.2	Risk Management Bid Process for Schools SPJ advised that adjustments to bid form completed to include ongoing financial implications of initiative.	
3.1.3	Engineering Policy JS advised that discussions ongoing between Risk Management, Procurement and Property Services to prepare for 2021 renewal tender exercise.	
3.1.4	Property Claims Meeting to be arranged between CCC technical officers and property claims loss adjusters to clarify aspects of claims settlements.	JS
4.	Minutes of Contingency Planning Working Group Meeting – 29th October 2020 The Minutes were noted.	
4.1	Matters arising from Contingency Planning Working Group Minutes	
4.1.1	Covid-19 – Response / Recovery HLP advised that Gold / Silver Response / Recovery Groups remained in place.	
5.	Minutes of Transport Risks Working Group – 13th October 2020 The Minutes were noted.	
5.1	Matters arising from Transport Risks Working Group	
5.1.1	Zurich Municipal Motor Vehicle Grading Report JS advised that the Motor Risk Grading Review of the Authority's fleet risk management arrangements was ongoing. Update to be provided at next meeting.	JS
6.	Wales Audit Office – Review of Risk Management Arrangements HLP advised as follows:- <ul style="list-style-type: none"> • Risk Management bespoke software upgrade completed • Draft Risk Management tool-kit developed • Risk Management training to be developed • Progress continued to be monitored via the <i>Performance & Improvement Monitoring System (PIMS)</i>. Update to be provided at next meeting.	HLP
7.	BREXIT HLP advised that as the transition period after Brexit comes to an end, the Dyfed Powys Local Resilience Forum Brexit Group to recommence.	

8.	Ash Die Back Delivery of the Authority's Ash Die Back project was making good progress. Update to be provided at next meeting.	JF
9.	Corporate Risk Register HLP advised that the Corporate Risk Register was reviewed by Corporate Management Team and received by Audit Committee on the 11 th September 2020.	
10.	Bids for Financial Assistance	
10.1	COMM – Security Improvements at Manor Road Centre, Ammanford This Departmental bid related to the installation of security improvements at Manor Road Centre, Ammanford. It was agreed that the Departmental bid (i.e. 50% of the estimated cost) be approved.	
10.2	CEX – Extension of RM Bid 367 – SharePoint Project Officer This bid related to the funding of a SharePoint Project Officer to focus on information management. It was agreed that the extension to this Corporate Bid (i.e. 100% of the estimated cost) be approved.	
10.3	CEX – Extension of RM Bid 374 – Mental Health Support Co-ordinator This bid related to the funding of a Mental Health Support Coordinator, to coordinate the Council's initiatives to develop the management of mental health skills and to raise awareness of positive mental health across the Authority. It was agreed that the extension to this Corporate Bid (i.e. 100% of the estimated cost) be approved.	
11.	Any Other Business None	
12.	Next Meeting 09:30 a.m. Tuesday, 26 th January 2021 via Microsoft Teams	

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Minutes of the Corporate Governance Group

20th September, 2020

2.00pm – 3.00 pm

Teams Meeting

Present:

Cllr. David Jenkins (DJ)	Executive Board Member (Resources) (Chair)
Cllr. Mair Stephens (MS)	Executive Board Member (HR)
Chris Moore (CM)	Director of Corporate Services
Helen Pugh (HP)	Head of Revenues and Financial Compliance
Linda Rees Jones (LRJ)	Head of Administration and Law
Gwyneth Ayers (GA)	Corporate Policy & Partnership Manager
Nia Hughes (NH)	Business Support Supervisor (Support)

Apologies:

Cllr. Tina Higgins (TH)	Councillor
Randell Hemingway (RH)	Head of Financial Services
Paul Thomas (PT)	Assistant Chief Executive
Alison Wood (AW)	People Services Manager
Noelwyn Daniel (ND)	Head of ICT

Item No	Discussion / Action	Responsible Officer
1.	<u>Apologies</u> As noted above.	
2.	<p><u>Minutes of Last Meeting dated 11th February, 2020 – Accuracy / Matters Arising</u></p> <p>The following had been raised :-</p> <ul style="list-style-type: none"> • <u>Matters Arising</u> <ol style="list-style-type: none"> 1. <u>Item No.3 – AGS</u> <ul style="list-style-type: none"> ➤ An extra paragraph relating to COVID was added. ➤ No comments were received from Audit Wales. 2. <u>Item No. 4 - Corporate Strategy Update</u> <ul style="list-style-type: none"> ➤ At a recent Audit Committee, it was acknowledged that there was a need for an informal training session outlining the arrangements and responsibilities for the 3 companies. 	

	<p>Training will now take place before the end of 2020.</p> <p>➤ Governance to be ascertained.</p> <p>3. <u>Item No. 5 – Governance</u></p> <p>➤ Process has started but hasn't been completed. This needs to be discussed with Audit Wales.</p> <p>Following the amendment and updates, it was AGREED that the minutes were a correct record.</p>	<p>HLP</p> <p>HLP</p> <p>HLP</p>
3.	<p><u>AGS</u></p> <p>The document was approved by the Audit Committee on the 11th September 2020.</p> <p>An additional paragraph has been added to page 25 and has gone to Audit Committee.</p> <p>The Corporate Governance Group made all the relevant amendments to the document.</p>	<p>HLP</p>
4.	<p><u>AGS – Update on Actions</u></p> <p>FPR - going to Audit Committee.</p> <p>GDPR – we need to keep a track on any ongoing changes to this due to Covid-19.</p>	<p>HLP</p> <p>HLP</p>
5.	<p><u>Annual Report 2019/20 – Building a Better Council</u></p> <p>The Annual Report goes to PEB on the 21st of September 2020. GA stated that the report will be slightly different this year due to Covid-19.</p> <p>The comparison with other Counties will not be included as National Indicators were not used this year from the Welsh Assembly. GA stated that an indication has been given regarding how CCC are performing but are unable to compare to other authorities.</p>	<p>GA</p>
6.	<p><u>Information Governance – Update</u></p> <p>GA confirmed that there was no update as no meetings have taken place.</p>	<p>GA</p>
7.	<p><u>CRWG – Update</u></p> <p>LRJ attended CRWG on the 4th August.</p> <p>A discussion took place on Executive Board Members leading Scrutiny Committees with the assistance of officers.</p>	<p>LRJ</p>

	HLP questioned if Audit Committees would still be officer led. LRJ confirmed that only Scrutiny Committees would be led by EBM's. LRJ stated that the Democratic Services Unit been carrying out work on the portfolio of the Scrutiny Committees.	
8.	<p><u>City Deal Governance Arrangements</u></p> <p>The group agreed that City Deal Governance will be taken off the agenda as a standing item going forward. "Monitoring outputs of CCC led projects" will be added as a new agenda item.</p>	ALL
9.	<p><u>Any Other Business</u></p> <p>Cllr Mair Stephens asked that papers for this group be circulated 7 working days before the meeting.</p>	

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APPENDIX 1

UPDATE ON OUTSTANDING GOVERNANCE ISSUES IDENTIFIED IN PREVIOUS ANNUAL GOVERNANCE STATEMENTS

SOURCE	ISSUES	RESPONSIBLE OFFICER	ACTIONS/PROGRESS		STATUS
AGS 2014/15 No. 6	Responding to the EU General Data Protection Regulation (GDPR) (as a replacement to the Data Protection Act 1998).	Head of ICT and Policy	The Authority's Data Protection Officer has worked closely with ICT Services and other relevant services and departments to assess requirements and prepared for and introduced the new regulations which took effect in May 2018. Training and support is being provided to staff as required. (New regulations came into effect during May 2018)		Ongoing Complete Now well embedded into common practice
AGS 2016/17 No.6	Review and monitor employment safeguarding processes in relation to: <ul style="list-style-type: none"> • HR Record keeping in relation to safeguarding complaints and investigations relating to staff; • Provision of references for posts involved in regulated activity; Pre-employment checks for posts involved in regulated activity.	Director of Communities	Key performance measures considered quarterly. IA reviews arrangement again this year and identified improvement in the processes.		Ongoing Complete Recently had another audit – evidence that process are now embedded
AGS 2017/18 No.6	Monitor and evaluate People Strategy Group/Work stream actions relating to WAO People Performance Management recommendations.	Assistant Chief Executive – People Management.	March 2020	As part of the PSGB, work streams have commenced And are revaluating due to Covid	On going Consolidating learning and moving forward. Group has met through Covid, but revaluation of way forward needed

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

SOURCE	ISSUES	RESPONSIBLE OFFICER	ACTIONS/PROGRESS		STATUS
AGS 2017/18 No. 8	Update the Code of Governance to ensure that it's in line with the CIPFA standards and Wellbeing of Future Generations Act.	Head of Revenues and Financial Compliance.	March 2019	To be discussed and agreed at the next Corporate Governance Group meeting	Draft for consideration at CGG 4 th December 2020
AGS 2018/19 No.6	Review right to work checks and impact of new immigration process arising from Brexit on recruitment process.	Assistant Chief Executive People Management	March 2020	In the middle of reviewing the right to work checks – should be completed by end of March 2021 Process in place as integral part of recruitment policy / process	Ongoing
AGS 2018/19 No.7	Complete and publish equal pay audit for 2018/19	Assistant Chief Executive People Management	March 2020		Ongoing Completed – routine standard practice now

APPENDIX 2

GOVERNANCE ISSUES ACTION PLAN				
NEW GOVERNANCE ISSUES IDENTIFIED IN THIS YEAR'S ANNUAL GOVERNANCE STATEMENT				
ISSUE REF	ACTION	RESPONSIBLE OFFICER	Actions / Progress	TARGET DATE
AGS 2019/20 No.2	To publish a Corporate Strategy update for 2020/21	Head of ICT & Policy	Complete	June 2020
AGS 2019/20No.3	To keep the same Wellbeing Objectives in the Corporate Strategy and refresh the action plans for 2020/21	Head of ICT & Policy	Complete Embedded in practice and carried out Annually	June 2020
AGS 2019/20 No.4	To publish an Annual Report on 2019/20 performance. To also include: - <ul style="list-style-type: none"> A fundamental review of Wellbeing Objectives for 2021/22 Identifying improvements and priorities for 21/22 to inform the budget	Head of ICT & Policy	Complete – received by full Council	Oct 2020
AGS 2019/20 No.5	To consider the implications of the requirements of the Local Government and Elections (Wales) Bill	All Corporate	Ongoing	March 2021
AGS 2019/20 No.6	To monitor the outputs of the Swansea bay City Deal project – Yr Egin	Director of Corporate Services / Head of Regeneration	Ongoing - Funding agreement to be put in place.	March 2021
AGS 2019/20 No.7	To ensure appropriate governance arrangements are in place to assess impact and use of resources with partners to deliver the Wellness Pentre Awel project.	Head of Regeneration / Director of Corporate Services	Ongoing	March 2021

GOVERNANCE ISSUES ACTION PLAN				
	NEW GOVERNANCE ISSUES IDENTIFIED IN THIS YEAR'S ANNUAL GOVERNANCE STATEMENT			
ISSUE REF	ACTION	RESPONSIBLE OFFICER	Actions / Progress	TARGET DATE
AGS 2019/20 No.8	Ensure Employment Policies reflect any new legislation such as exit payment cap, reclaiming exit payments etc	People Services Manager	Ongoing – updating employment policies Exit payment policy has been passed, ongoing work to change policies WG input awaited, which may push the deadline – target date to be reviewed when more information received	March 2021
AGS 2019/20 No.9	Pay Policy publication in line with Localism Act	People Services Manager	On target. Work has commenced	March 2021
AGS 2019/20 No.10	Safe recruitment – ensure pre-employment checks and re-checks are completed and kept up to date	People Services Manager	Process in place to ensure that checks are carried out	Complete
AGS 2019/20 No.11	Provide wellbeing support to staff via Occupational Health and employment policy and advice and provide mental health training to managers	Assistant Chief Executive – People Management.	Training programme has been put in place Wellbeing Champions	Complete
AGS 2019/20 No.12	Ensure Payroll processes and handling of data are managed securely and in accordance with data protection principles	People Services Manager	Reviewed payroll processes and changes made now standard practice	Complete
AGS 2019/20 No.13	Implement appropriate changes in respect of the governance arrangements of the Local Authority Companies in response to the Governance Review Report	Corporate Management Team	Lessons learnt being pulled together, report to CMT.	June 2021

[illegible]

	SUBJECT	ACTION
	<ul style="list-style-type: none"> Confirmation to be obtained that the service level agreement with Hywel Dda LHB has been amended to reflect the approved budget figures for the Wanless return (Money Transfers) for 2019/20. 	DT
	<ul style="list-style-type: none"> A review to be undertaken on whether there are pooled budget arrangements in place with Hywel Dda LHB in relation to Care Home Commissioning for the financial year 2020/21. 	RH/LJ
	<ul style="list-style-type: none"> Procurement Section to be contacted to deliver training for officers in the Education & Children department and officers within the Homes & Safer Communities division of the Communities department. 	NT/LJ
	<ul style="list-style-type: none"> Information has been forwarded to WEFO for the Article 57 reviews for projects under the 2007-13 European Structural Funds Programme: <ul style="list-style-type: none"> Property Development Fund Collaborative Communities Local Investment Fund Crosshands East Strategic Employment Site The review is to test that the buildings/equipment are still in place and are being used for the purpose for which the grant was awarded. Due to COVID 19 visits have been cancelled. WEFO have requested dated photographs as evidence for Collaborative Communities and Local Investment Fund. The Authority is still waiting for instructions from WEFO for the other projects. 	
	<ul style="list-style-type: none"> Grants Management training is to be delivered in small groups via Teams (max of 6 officers). Training to take approximately 1 1/2 hours. Training to start with officers of the Environment department with the intention that 2 sessions a week will be provided starting in October. 	
	<ul style="list-style-type: none"> The current delegation arrangements for signing of grant claims within Finance is to remain subject to Director of Corporate Services approval. 	RH
	<ul style="list-style-type: none"> WG's Grant Centre of Excellence have confirmed that a signed document scanned and sent to them via email direct from the authorised signatory for acceptance of grant and for grant claims is 	

	SUBJECT	ACTION
	<p>acceptable. Further long term solutions are currently being considered e.g. DocuSign, Adobe.</p> <ul style="list-style-type: none"> Contracts for school-based staff funded by the Education Improvement Grant have been extended to 31/12/2020. ERW have reached an agreement for the allocation of grant monies to each local authority. Details due in next few weeks. 	
3.0	<p><u>Audit Wales - Update</u></p> <ul style="list-style-type: none"> The following returns for 2019/20 have been submitted for auditing: <ul style="list-style-type: none"> Housing Benefits NDR Return Teachers' Pension Pooled Budgets (Joint Equipment Store) is due to be submitted next week. Wanless (Money Transfers) is due by 30/9/2020. It is anticipated that the audits will commence late September/early October. 	
4.0	<p><u>Internal Audit (IA) - Update</u></p> <ul style="list-style-type: none"> The following audits for 2019/20 have been completed and no issues identified: <ul style="list-style-type: none"> Children and Communities grant Housing Support Co-ordinator The final requirements for the 2019/20 audits for the Pupil Deprivation Grant and the Education Improvement Grant are still outstanding from ERW. However audit work has commenced. The audit of the Enable grant has been completed. The service level agreement with Care & Repair to be updated. The audit of Housing Support Grant is due to be signed off next week. No issues identified. The audit of the local authority Education grant has 	

	SUBJECT	ACTION
	started.	
5.0	<p><u>Grants Register 2020/21</u></p> <ul style="list-style-type: none"> • An update on the grants register has been received for Education & Children (Revenue). • An exercise to be undertaken to review grants awarded in 2019/20 and 2020/21 to assess if there has been any impact on the amount of grant awarded to the Authority because of the COVID 19 crisis. 	DT
6.0	<p><u>Project Working Groups</u></p> <ul style="list-style-type: none"> • Minutes of PWG meetings were circulated to Grants Panel members for: <ul style="list-style-type: none"> ○ Communities: 20/7/20 	
7.0	<p><u>European Grants Update</u></p> <ul style="list-style-type: none"> • A schedule of all current European grant funded projects was presented to Grants Panel. The total estimated project costs approved and in development is £44.8m with grant of £28.8m. • The Rural Market Economic Growth Plans project funded under the Rural Development Programme has been extended from October 20 to March 21. • A business plan has been submitted for the LINC project under the Rural Development Programme. The Authority is currently waiting for a response. • An update was provided to Grants Panel on the amount of outstanding grant income that is due to the Authority for European grant funded projects. The total amount claimed to date is approximately £14.8m with a total of £3.2m grant income outstanding. • For the 2 capital projects the total grant income outstanding is more than £2m. Project managers to 	SW

	SUBJECT	ACTION
	be contacted to establish reasons for the delay and when grant monies are expected.	
8.0	<u>City Deal Update</u> <ul style="list-style-type: none"> Officer to be invited to next meeting to provide update on CCC projects that being delivered through City Deal funding. 	
9.0	<u>New & Proposed Projects</u> <ul style="list-style-type: none"> A grant offer has been accepted for funding from ERASMUS+ which is the European Union's exchange programme for students and staff. The total funding is for €102k. Due to the nature of the project it has been advised that a report needs to be submitted to the gold/silver recovery group (COVID 19) for approval. A business plan and an application for funding has been submitted by Trading Standards to the Welsh Government's Local Government Digital Transformation Fund. A response is expected by mid-October. 	NT
10.0	<u>AOB</u> <ul style="list-style-type: none"> The Physical Regeneration Scheme under 2007-13 European Structural Funds programme is also subject to an Article 57 review by WEFO. Due to the COVID 19 crisis hardship claims have been submitted to WG monthly. Further information has been provided to WG where requests for additional information have been made. No indications have been received on whether these claims will be subject to an audit by IA or Audit Wales. However IA have allocated time in the business plan to review the claims in January 21. 	
11.0	<ul style="list-style-type: none"> Date of next meeting – 10:00am on 27th November 2020 via Teams 	

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Audit Committee

Friday, 16 October 2020

PRESENT: Councillor T.M. Higgins (Chair)

Councillors:

K.V. Broom, K.Davies, G.H. John, A.G. Morgan, B. Thomas, D.E. Williams and J. James

Also present as an observer:

Councillor D.M. Jenkins – Executive Board Member for Resources

In attendance from Audit Wales:

Mr J. Garcia

The following Officers were in attendance:

C. Moore, Director of Corporate Services

R. Hemingway, Head of Financial Services

H. Pugh, Head of Revenues and Financial Compliance

C. Powell, Principal Auditor

C. Daniels, Senior Sports and Leisure Manager

A. Eynon, Principal Translator

J. Corner, Technical Officer

M. Evans Thomas, Principal Democratic Services Officer

K. Thomas, Democratic Services Officer

E. Bryer, Democratic Services Officer

Virtual Meeting - . - 10.00 - 11.23 am

1. APOLOGIES FOR ABSENCE.

An apology for absence was received from Councillor B.A.L. Roberts.

2. DECLARATIONS OF PERSONAL INTERESTS.

There were no declarations of personal interest.

3. DYFED PENSION FUND STATEMENT OF ACCOUNTS

3.1. DYFED PENSION FUND AUDIT OF FINANCIAL STATEMENT REPORT

The Committee received for consideration the report of Audit Wales on the audit undertaken of the Dyfed Pension Fund Accounts which considered whether the financial statement gave a true and fair view of the financial position of the Dyfed Pension Fund at 31st March, 2020 and its income and expenditure during that year.

The Committee was advised that whilst Audit Wales intended to issue an unqualified audit report on the accounts, there were some issues which needed to be reported to the Committee prior to their approval, details of which were included in the report.

The Committee was pleased to note that Audit Wales intended to issue an unqualified audit opinion on the accounts which would be issued as soon as the Letter of Representation had been provided. The Committee was also pleased to note that there were no misstatements identified in the financial statements which remained uncorrected.

UNANIMOUSLY RESOLVED that the report be received.

3.2. LETTER OF REPRESENTATION TO AUDIT WALES DYFED PENSION FUND

The Committee was advised that in accordance with the Statement of Auditing Standards (SAS440 – Management Representations) Audit Wales required a Letter of Representation to be prepared on an annual basis by the Director of Corporate Services and signed by the aforesaid Officer and the Chair of the Audit Committee. In addition, Audit Wales required the Committee responsible for approving the accounts under Regulation 8 of the Accounts and Audit Regulations to formally acknowledge the response.

UNANIMOUSLY RESOLVED that the Letter of Representation to the Wales Audit Office from the Director of Corporate Services and the Chair of the Audit Committee to Audit Wales in relation to the Dyfed Pension Fund be acknowledged.

3.3. AUDIT ENQUIRIES TO THOSE CHARGED WITH GOVERNANCE AND MANAGEMENT

The Committee received the Authority's responses to Audit Wales on a number of governance areas that impacted on the audit of the financial statements. Those considerations were relevant to both the Dyfed Pension Fund's management and 'those charged with governance' (the Audit Committee). The information provided informed Audit Wales' understanding of the Dyfed Pension Fund and its business processes and supported its work in providing an audit opinion on the 2019-20 financial statements.

UNANIMOUSLY RESOLVED to approve the responses to the requests made of both management and the Audit Committee as detailed in the report.

3.4. DYFED PENSION FUND STATEMENT OF ACCOUNTS 2019-2020

In accordance with the provisions of the Accounts and Audit (Wales) Regulations 2014, the Committee received for approval the post-audit Statement of Accounts 2019/20 in respect of the Dyfed Pension Fund. The Statement brought together all the financial transactions of the Pension Fund for the year, and detailed its assets and liabilities as at 31st March, 2020.

UNANIMOUSLY RESOLVED that the Statement of Accounts 2019/20 for the Dyfed Pension Fund post audit be approved.

4. INTERNAL AUDIT PLAN 2020/21 UPDATE

The Committee considered a progress report on the implementation of the 2020/21 Audit Plan

UNANIMOUSLY RESOLVED that the 2020/21 Internal Audit Plan update report be received.

5. AUDIT COMMITTEE FORWARD WORK PROGRAMME

The Committee considered an update on the implementation of the Committee's Annual Forward Work Programme detailing the expected Agenda Items for the 2020/21 Audit Committee Cycle.

The Head of Revenues and Financial Compliance advised that arrangements were being made for the Committee to receive training on Local Authority Trading companies during December 2020.

UNANIMOUSLY RESOLVED that the update report on the 2020/21 Audit Committee Forward Work Programme be received.

6. PROGRESS REPORTS

6.1. PEMBREY SKI CENTRE

The Committee was reminded that at its meeting held on the 30th September, 2019 it had considered a report on the operation of the Pembrey Ski Centre and requested that it be presented with a six month update. As the Committee's March 2020 meeting had been cancelled due to Covid 19, a follow up report was received providing an update on the position as at October 2020

The Head of Revenues and Compliance stated that whilst the report before the Committee provided an assurance that all of the Actions detailed therein had been addressed, it was her recommendation that should the Committee be minded to receive the report, the Pembrey Ski Centre be also be included within the 2021/22 Audit Plan

UNANIMOUSLY RESOLVED

6.1 that the Pembrey Ski Centre update report be received.

6.2 That the Pembrey Ski Centre be included within the 2021/22 Audit Plan

6.2. LLANELLI LEISURE CENTRE

The Committee, in accordance with the decision made at its meeting on the 1st July, 2019 received an update report on Llanelli Leisure Centre that provided a summary of the agreed work and processes undertaken to date by the Centre's Management Team to improve its processes following the 2018/19 Internal Audit report undertaken in January 2019 and the 2019/20 report undertaken in March 2020

In response to a question on the introduction of one further IT enhancement system being in the build phase, the Senior Sports and Leisure Manager advised that whilst the build phase was complete the required data in relation to staff hours/ work rota's etc would be inputted to the system when leisure staff, who were currently dispersed to other leisure centres/ duties due to Covid 19, returned to their designated centres. He also confirmed that, due to the length of time staff had been relocated and assigned to other duties, they would, on return to their designated centres, receive refresher training courses and training on any new systems introduced.

The Committee having considered the report and assurances provided on the progress being achieved at the Llanelli Leisure Centre considered that, as with item 6.1 above, the centre be included within the 2021/22 Audit Plan

UNANIMOUSLY RESOLVED

6.2.1 that the Llanelli Leisure Centre progress update report be received.

6.2.2 That the Llanelli Leisure Centre be included within the 2021/22 Audit Plan

7. ANTI-FRAUD AND ANTI-CORRUPTION STRATEGY

The Committee received a proposed update to the Council's Anti-Fraud and Anti-Corruption Strategy which had been produced in accordance with good Corporate Governance requirements for the Authority to clearly demonstrate its commitment to dealing with fraud and corruption and would deal equally with perpetrators both within and outside the Council. It was noted that the Strategy was closely linked to current Council policies providing staff with guidance on the prevention and reporting of fraud and corruption

In response to a question on the reporting of fraud and corruption investigations, the Head of Revenues and Financial Compliance advised that whilst there was no formal reporting procedure currently in place, it was intended those details would be included within an Annual Fraud and Corruption Report to be submitted to the Audit Committee.

The Committee was also advised that training sessions on Fraud and Corruption were being arranged for elected members and senior officers together with consideration on how the policy and awareness thereof would be cascaded to staff. That would include placing the Strategy on the Council's intranet set and possibly via an e-learning module for staff

UNANIMOUSLY RESOLVED that the Anti-Fraud and Anti-Corruption Strategy be endorsed.

8. TO SIGN AS A CORRECT RECORD THE MINUTES OF THE MEETING OF THE AUDIT COMMITTEE HELD ON THE 11TH SEPTEMBER, 2020.

UNANIMOUSLY RESOLVED that the minutes of the meeting of the Audit Committee held on the 11th September, 2020 be signed as a correct record.

CHAIR

DATE

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