

FRIDAY, 4 MARCH 2022

**TO: ALL MEMBERS OF THE GOVERNANCE & AUDIT
COMMITTEE**

I HEREBY SUMMON YOU TO ATTEND A VIRTUAL MEETING OF
THE **GOVERNANCE & AUDIT COMMITTEE** WHICH WILL BE
HELD AT **10.00 AM ON FRIDAY, 11TH MARCH, 2022** FOR THE
TRANSACTION OF THE BUSINESS OUTLINED ON THE
ATTACHED AGENDA.

Wendy Walters

CHIEF EXECUTIVE

Democratic Officer:	Julie Owens
Telephone (Direct Line):	01267224088
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Wendy Walters Prif Weithredwr, *Chief Executive*,
Neuadd y Sir, Caerfyrddin. SA31 1JP
County Hall, Carmarthen. SA31 1JP

GOVERNANCE AND AUDIT COMMITTEE

MEMBERSHIP:-

8 MEMBERS PLUS ONE EXTERNAL MEMBER WITH VOTING RIGHTS

PLAID CYMRU GROUP (4)

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

LABOUR GROUP (2)

- | | | |
|----|------------|--------------|
| 1. | Councillor | Tina Higgins |
| 2. | Councillor | Bill Thomas |

INDEPENDENT GROUP (1)

- | | | |
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| 1. | Councillor | Giles Morgan |
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NEW INDEPENDENT GROUP (1)

- | | | |
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| 1. | Councillor | Louvain Roberts |
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EXTERNAL VOTING MEMBER

Period of appointment – until the Local Government Elections in May 2022

- | | |
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| 1. | Mrs Julie James |
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AGENDA

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12. EXCLUSION OF THE PUBLIC
THE REPORTS RELATING TO THE FOLLOWING ITEMS ARE NOT FOR PUBLICATION AS THEY CONTAIN EXEMPT INFORMATION AS DEFINED IN PARAGRAPHS 12 AND 13 PART 4 OF SCHEDULE 12A TO THE LOCAL GOVERNMENT ACT 1972 AS AMENDED BY THE LOCAL GOVERNMENT (ACCESS TO INFORMATION) (VARIATION) (WALES) ORDER 2007. IF, FOLLOWING THE APPLICATION OF THE PUBLIC INTEREST TEST, THE COMMITTEE RESOLVES PURSUANT TO THE ACT TO CONSIDER THESE ITEMS IN PRIVATE, THE PUBLIC WILL BE EXCLUDED FROM THE MEETING DURING SUCH CONSIDERATION.
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Governance & Audit Committee 11 March 2022

Subject and Purpose: Adult Social Care Accommodation Strategy		
Recommendations / key decisions required: Governance & Audit Committee to note the progress made and future priorities in relation to people with a Learning Disability		
Reasons: In July 2018, Audit Committee received a report on plans to develop a range of accommodation for people with a learning disability. This report provides an update regarding developments to date.		
Relevant scrutiny committee to be consulted: The Health and Social Care Scrutiny Committee will be reviewing and monitoring the Commissioning strategy and accommodation plan for adults with a learning disability.		
Cabinet Decision Required: No Council Decision Required: No		
CABINET MEMBER PORTFOLIO HOLDER: Councillor J Tremlett		
Directorate: Department for Communities Name of Head of Service: Avril Bracey Report Author: Avril Bracey	Designation: Head of Adult Social Care	Tel No.: 01267 242492 E Mail Address: abraacey@carmarthenshire.gov.uk

Governance & Audit Committee
11 March 2022

Adult Social Care Accommodation Strategy

1. BRIEF SUMMARY OF PURPOSE OF REPORT.

In July 2018, the Audit Committee received for consideration a WAO report concerning the strategic commissioning of accommodation services for adults with a learning disability.

A verbal update was provided in December 2018 regarding the Authority's plans to develop accommodation services for adults with learning disability in Carmarthenshire. The Committee agreed that it would be beneficial to have an update on these developments at a future audit meeting. The attached report is an initial summary of Carmarthenshire's current position in response to the WAO 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: Avril Bracey – Head of Adult Social Care

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

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

Signed: Avril Bracey – Head of Adult Social Care

1. Scrutiny Committee: The Health and Social Care Scrutiny Committee will be reviewing and monitoring the Commissioning strategy and accommodation plan for adults with a learning disability.

2. Local Member(s): N/A

3. Community / Town Council: N/A

4. Relevant Partners: N/A

5. Staff Side Representatives and other Organisations: N/A

**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
WAO Report – Strategic Commissioning of Accommodation Services for Adults with Learning Disabilities (May 2018)		Strategic Commissioning of Accommodation Services for Adults with Learning Disabilities Audit Wales

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SUBJECT

WAO Report on accommodation for adults with a Learning Disability - May 2018

In July 2018, the Audit Committee received for consideration a WAO report concerning the strategic commissioning of accommodation services for adults with a learning disability. The report concluded that:

- The approach to commissioning accommodation for people with a Learning Disability is potentially unsustainable
- LA's generally do not have effective arrangements to commission accommodation services for people with a Learning Disability.
- Ineffective evaluation of outcomes for Learning Disability services means Local Authorities are not always able to demonstrate the positive impact of their accommodation choices.

A verbal update was provided in December 2018 regarding the authority's plans to develop accommodation services for adults with learning disability in Carmarthenshire. The Committee agreed that it would be beneficial to have an update on these developments at a future audit meeting. The following is an initial summary of Carmarthenshire's current position in response to the WAO report.

It is important to note that developing a range of accommodation options for individuals with a learning disability was a priority for the division before the WAO report. In Carmarthenshire we have had an over reliance on residential care and our vision is to have a range of accommodation to promote choice, independence, and community integration. We believe this is fundamentally the right thing to do.

The Committee will be aware from the previous report that work began during 2017 with the social work teams, to identify those individuals with accommodation needs over the next three to five years. As part of the implementation of the Social Service and Wellbeing (Wales) Act, the West Wales Care Partnership (WWCP) led the development of a Market Position Statement and Area Plan which informed the development of a commissioning strategy for adults with a learning disability in Carmarthenshire. This strategy was published in 2019.

The WWCP, also in 2017, commissioned the Housing Learning Improvement Network (LIN) to undertake an assessment of the housing and accommodation needs of people with a Learning Disability for the next 10-20 years, on a regional footprint. We have since recommissioned the Housing LIN in 2021, to refresh this document in order to reflect the impact of Covid to include individuals with complex needs and mental health issues.

Since the publication of the first Housing Lin report and the Learning Disability Commissioning Strategy, Adult Social Care and the Commissioning Team have been

working to map the accommodation and support needs of individuals with a learning disability and other population groups. We now have a four-year accommodation plan which outlines what accommodation we need and where in the County we need it. This report will be launched at the Regional Commissioning Group on March 25th, 2022. In Carmarthenshire our strategic objective is to develop models of care which promote progression and independence. Therefore, the number of people who require accommodation going forward is likely to increase.

The pandemic has impacted on our progress, but we have we are collaborated with colleagues in housing and commissioning to progress several accommodation projects and utilised external funding such as the Integrated Care (Capital) Fund to progress bespoke housing projects:

Learning Disability and Mental Health is now a priority in the councils' housing strategy. We have been able to access the council's housing stock and new builds for those who are able to live independently. Our housing department have purchased properties and made the necessary adaptations to accommodate those with complex needs.

We have developed several accommodation projects in partnership with our colleagues in housing:

- Carmarthen – four individuals moved from residential into a five bedroomed property.
- Glanamman - a three bedroomed shared accommodation plus two self-contained flats.
- Cross Hands - a three bedroomed property, offering two shared tenancies with support.
- Llanelli - a three bedroomed property, offering two shared tenancies with support.
- (In progress) Llanelli - four shared tenancies for individuals with complex needs, plus four individual flats.
- (In progress) Pembrey - a three bedroomed property offering two shared tenancies with support.

We have been able to increase the independence of several individuals by working with providers to deregister residential settings to supported living. This gives the individuals concerned greater security of tenure and more choice and control, but at the same time they can remain in a setting where they feel settled, maintaining friendships and community links. To date we have been able to do this in three settings which has improved outcomes for 16 individuals. The following is a quote from one individual who was one of the first to move into a scheme:

Feedback from Mr T, via his community nurse- "I just spoke to Mr T. It was so lovely. He is so happy - 'Joyo, Joyo', he said. He has been 'everywhere' he says. He has been playing football outside with the staff. He happily shares chores like drying and washing up with X. He is looking forward to the future and talking about returning to all his jobs and clubs. He is also looking forward to going on holiday"

Our Shared Lives Scheme enables individuals to live with a family. We are part of a regional scheme which is hosted by Carmarthenshire. Over the last year we have restructured the team and developed a marketing strategy to increase the number of 'Shared Lives' carers, which will increase the options for individuals with a learning disability.

It is also important to note that we have several forums which ensure that we are progressing our commissioning intentions and our ambitious programme of change. We have also increased our staff resource in adult social care, commissioning, and housing to support this work.

Carmarthenshire is represented on a **Regional Commissioning Group** supported by the West Wales Care Partnership. This group:

- Considers findings from accommodation needs mapping, to inform strategic commissioning plans.
- Ensures projects are developed in a collaborative way, to meet needs as efficiently and effectively as possible.
- Identifies gaps in provision and remedial action required.

An Integrated Care Fund (ICF) capital group:

- Advises on commissioning proposals and priorities
- Identifies projects for grant funding.

The Head of Adult Social Care chairs a monthly **Accommodation and Efficiency Project Board** which:

- Has oversight of the Commissioning of all accommodation projects.
- Tracks progress and identify issues for escalation.
- Receives regular highlight reports in relation to all commissioned accommodation projects.
- Tracks expenditure and savings targets.

A Project Group is set up for every accommodation scheme, to monitor progress and timelines, and collaboratively resolve any difficulties.

In conclusion, whilst the pandemic has impacted on our progress, I hope this report provides the committee with the reassurance that reducing the numbers of people in residential care and commissioning a range of accommodation options to improve outcomes for individuals with a learning disability and other population groups. This is a key priority and fundamental to the business plan going forward for the Adult Social Care Division.

Avril Bracey
Head of Adult Social Care

25th February 2022

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Governance & Audit Committee 11 March 2022

Subject: Audit Wales Report – Review of Waste Service, July 2021; update, March 2022.		
Purpose: To update on the actions identified in the action plan.		
Recommendations / key decisions required:		
None.		
Reason(s) for recommendation:		
Update only.		
Relevant scrutiny committee to be consulted NO		
Cabinet Decision Required NO		
Council Decision Required NO		
CABINET MEMBER PORTFOLIO HOLDER: Cllr. Hazel Evans – Cabinet Member for Environment		
Directorate: Environment	Designations: Head of Waste and Environmental Services	Tel: (01267) 224500
Name of Head of Service: Ainsley Williams	Report Author: Ainsley Williams	Email addresses: AiWilliams@carmarthenshire.gov.uk

Governance & Audit Committee

11 March 2022

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

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

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

A brief summary of the findings is provided as follows:

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

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

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

DETAILED REPORT ATTACHED?

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

IMPLICATIONS

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

Signed: **A WILLIAMS**

Head of Waste & Environmental Services

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

Finance

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

Risk Management Issues

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

Staffing Implications

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

Physical Assets

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

CONSULTATIONS

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

Signed: **A WILLIAMS**

Head of Waste & Environmental Services

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

EXECUTIVE BOARD PORTFOLIO HOLDER(S)
AcWARE/CONSULTED

Yes – Cllr Hazel Evans and Cllr Philip Hughes are aware of the position.

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

THERE ARE NONE

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Appendix 1:

Audit Wales Report on Waste Services – Action Plan Update March 2022

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

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

Audit Wales Reference	Recommendations (the Council should):	Action	Progress	Target Completion Date	Responsible Officer	Status	Update
R1: Garden Waste	The Council should identify performance measures for its garden waste service and ensure effective oversight of performance in this area by senior officers and Members.	<p>The viability and performance of the service will be reviewed annually at the end of the collection season.</p> <p>Options to be explored:</p> <ul style="list-style-type: none"> Allow unfettered expansion in terms of customers. Alternatively, consider capping the number of customers to match the available established resource. Allow surplus from “in-profit” years to be ring fenced and taken forward to the following financial year to cover any operating cost deficit in the following year. Remove the current 15% discount for a single full payment and apply a 10% discount instead. This would improve service viability and could go part way to sustaining additional resources when customer numbers grow. <p>Performance measures to consider:</p> <ul style="list-style-type: none"> No of customers retained from the previous season. Financial viability of service. 	To be undertaken at the end of season.	December 2021	Shaun Lynch	Completed	<p>The Garden Waste collection service was self-financing for the 2021 season.</p> <p>The charges for the 2022 season reflect a 10% discount for full payment at the point of subscription. This will aid the viability of the service in the long term.</p> <p>Performance measures will include a measure of the customers retained from the previous season and an end of season review of the financial viability for the season.</p>
			The options for changing the subscription charge to be considered as part of the annual budget and charges setting process.	November/December 21	Director/HOS/EB		
				December 21	Shaun Lynch		

Audit Wales Reference	Recommendations (the Council should):	Action	Progress	Target Completion Date	Responsible Officer	Status	Update
R2; CWM Environmental Ltd.	Ensure that there is a risk register for CWM.	<p>RISK Register to be approved by CWM Board by 31st December annually.</p> <p>Company Risk register to be presented to shareholder group alongside 3-year Business Plan prior to 31st March 22 and annually thereafter.</p>	<p>Action agreed with CWM MD</p> <p>Company Risk register to be presented to the Shareholder Board annually</p> <p>Shareholder reserved matters to be kept under review</p>	<p>December 21</p> <p>March 22</p>	<p>Sean Gallagher MD CWM Environmental)</p> <p>Sean Gallagher</p> <p>Director of Corporate Services/Head of Legal and Administration/ Shareholder Board.</p>	Completed	<p>CWM have developed a risk register that has been approved by the CWM Board.</p> <p>CWM's Business Plan including the risk register is scheduled for the Council's CWM Shareholder Board on the 16th March 2022.</p> <p>Reviewed as part of normal business.</p>
R3; CWM Environmental Ltd.	Ensure that it (Council) undertakes effective oversight of CWM's performance and associated risks, including at relevant committees such as overview and scrutiny.	Shareholder Board report to Executive board 6 monthly (together with report from Company MD as required).	Already scheduled as a regular report to Shareholder Board and to PEB/EB, that collectively provide governance of CWM from a Council perspective.	July 21	Chief Executive as chairperson representing the Shareholder Board (members of the Shareholder Board include EBM for Environment, Director of Finance, Head of Administration & Law and Director of Environment.	Complete – reports/meeting already scheduled	Last report and update received in February 2022.

Audit Wales Reference	Recommendations (the Council should):	Action	Progress	Target Completion Date	Responsible Officer	Status	Update
					Supported by CWM Board Executive Directors and Head of Waste & Environmental Services.		
R4; CWM Environmental Ltd.	Develop a contingency plan for dealing with any consequences in the event CWM becomes financially unviable.	<p>Should the company become financially unviable then as shareholder the Council could take any one of, or a mix of the following actions:</p> <ul style="list-style-type: none"> - Provide short term financial support - Replace or augment the management of the company - Step in and deliver the services directly - Subject the service to competition <p>Council is already guaranteeing the aftercare liability for the Nantycaws site and this is supported by £1.5m cash held in a joint ESCROW account.</p>	To be kept under review by the Governance group/Executive Board	July 21	Governance Group as set out in R3.	Complete - measures identified are currently in place.	No further update.
R5: Fly-tipping	Develop and implement an agreed plan to sustainably address the high number of fly-tipping incidents.	<p>The Council is in the process of formalising its Local Environmental Quality (LEQ) Plan.</p> <p>There is currently full engagement with the Welsh Government led national initiative called Caru Cymru. The aim of the plan is to put measures in place from a communications, education and physical cleansing activity with the aim of preventing or reducing litter. In addition, the Council will work</p>	<p>LEQ Plan currently progressing through the political approvals system.</p> <p>Caru Cymru projects being progressed.</p>	<p>Jan 22</p> <p>March 22</p>	<p>Dan John/Gary Baxter/Geinor Lewis</p> <p>Geinor Lewis</p>	Completed	<p>The formal LEQ strategy has been adopted by the Council. This strategy is being monitored and delivered through the LEQ Strategic group which has been re-convened in December 21. This group seeks to address problematic areas of fly-tipping in a strategic co-ordinated manner. With set action plans developed for specific areas or problems based upon need.</p> <p>Caru Cymru (CC) project current year program is underway. Initiatives include:</p> <ul style="list-style-type: none"> engaging with local schools and community groups to facilitate local initiatives e.g. litter picks, communications packs and engagement events.

Audit Wales Reference	Recommendations (the Council should):	Action	Progress	Target Completion Date	Responsible Officer	Status	Update
		<p>with community groups to remove fly-tipped waste.</p> <p>Review CCC's current fly-tipping removal gang resource levels; potentially expand to two gangs for the County - Llanelli and Carmarthen. Resource to be costed. Creation of new Waste Warden posts being considered to deal with kerbside waste transgressions. Reconvene internal LEQ group and focus action on a prioritised basis within the group.</p>		December 21	Gary Baxter & Dan John		<ul style="list-style-type: none"> Local business engagement for "2 minute street clean" initiative. Engaging town and community councils on green spaces initiative/dog fouling – encouraging positive LEQ behaviour in parks and green spaces Fly-tipping – selecting a rear lane in Llanelli to create a positive LEQ messaging. Invest in area to promote local custodianship and care. Support the delivery of the National CC Roadside Litter campaign through material delivery, installation, promotion and engagement with relevant partners <p>An LEQ Action Plan is being produced in partnership between the Council and KWT and these are updated on a quarterly basis.</p> <p>The key element in the immediate term is to remove the incidents of fly-tipping as soon as practicable. Currently all fly-tipping is removed within 4 days of reporting, unless there are ongoing investigation work that preclude removal.</p> <p>Current resources are therefore sufficient to deal with the removal of fly-tipped materials.</p>

Audit Wales Reference	Recommendations (the Council should):	Action	Progress	Target Completion Date	Responsible Officer	Status	Update
R5: Fly-tipping (continued)	Develop and implement an agreed plan to sustainably address the high number of fly-tipping incidents.	Participate in Environment & Public Protection Scrutiny Committee Task and Finish Review on fly-tipping from a Council-wide perspective.	T&F Scoping is underway involving the Planning section, Environmental Health Section and Waste Section.	October 21 (postponed to July 22).	Ainsley Williams/Dan John/Michael Roberts (from Waste and Environmental Services Division)	Postponed until June 22	<p>The Fly-tipping task and finish project is meant to look at the issue of fly-tipping across all land and not only public land in the ownership of the Council.</p> <p>This is a bigger project and will be looked by the T&F group in due course.</p> <p>The original T&F project was postponed due to the departmental restructure and has now been rescheduled until after the local government election; The T&F review is anticipated to commence in June 22.</p>
R6: Fly-tipping	Report corporately on a fuller set of performance measures for fly-tipping, including the number of incidents, to enable senior officers and Members to have more effective oversight of the problem and to drive improvement.	Develop wider performance indicators.			Dan John/Geinor Lewis/Michael Roberts in conjunction with Carly Thomas (BSU) and Contact Centre	Completed	<p>New Measure Implemented in 2022-25 Departmental Business Plan - total fly tipping service requests per annum</p> <p>As part of the Divisional Plan, we will measure Total number of fly-tipping hotspots and total number of incidents at these hotspots.</p> <p>These performance indicators will enable us to assess the current service demand and then measure our impact following behavioural change campaigns and directed enforcement activities.</p> <p>This will lead to an understanding of how to drive fly-tipping down in the longer term.</p> <p>Full suite of LEQ actions contained within Departmental Business plan and LEQ Plan.</p>
R6: Fly-tipping (continued)		<p>Review the way incidents of fly-tipping are recorded and identify all potential reporting sources to ensure multiple reports of the same incident are identifiable.</p> <p>Rationalise data capture and filter out duplicate reporting.</p>		March 2022	Dan John/Geinor Lewis/Michael Roberts in conjunction with Carly Thomas (BSU) and Contact Centre	Partially complete	We are currently developing an alternative recording and task management system to enable us to react to and record fly-tipping more accurately and effectively. The scoping and initial development of this system will be complete by end of March.

Audit Wales Reference	Recommendations (the Council should):	Action	Progress	Target Completion Date	Responsible Officer	Status	Update
R7(1): Waste Strategy	All elements of the waste hierarchy need to be considered, including prevention.	A review of our waste service strategy is currently in progress and will include reference to hierarchy and circular economy (CE)	Waste collection strategy outlook and detail for future collections currently being taken through the political system	March 2022	Ainsley Williams/Dan John	Completed	<p>A new waste strategy and proposed collections methodology has been agreed and Phase 1 is in the process of being planned (see below). In addition, WG funded circular economy projects are currently being constructed. Our first a re-use shop was opened in Llanelli on the 22nd February 2022.</p> <p>Phase1 – introduction of three-weekly glass collection, three weekly residual waste collection (black bag) and weekly recycling collection (blue bag) from October/November 2022.</p> <p>Phase 2 will entail the introduction of a weekly kerbside sort collection system, weekly glass collection and continuation of a three weekly residual waste collection.</p> <p>The project synopsis, governance and high-level timeline of the project is shown in Appendix 2.</p>
R7(1): Waste Strategy (continued).		A separate CE Strategy and action plan will also be developed with a specific CE Project Officer employed.				Partially completed.	<p>A draft circular economy (CE) Strategy and action plan has been developed for implementation. The final version will be on hold pending the development of Welsh Government CE measures, so that they can be incorporated into the plan.</p> <p>A project officer is out for recruitment the role will engage with local and community projects to further develop the CE from the ground up.</p>
R7(2): Waste Strategy	It integrates its strategy with other related projects and plans e.g. regeneration, enforcement and fly-tipping.	Incorporate wider links to environmental management into the Waste Strategy Plan.	As above	March 2022	Ainsley Williams/Dan John	Completed	<p>The agreed waste strategy makes strong links with wider Council policies and plans: Corporate strategy and the Council's wellbeing objectives; Net Zero Carbon plan (e.g., introduction of ultra-low emissions vehicles and electric vehicles); Local Environment Quality; Regeneration ambitions for principal towns and as part of the CE</p>

Audit Wales Reference	Recommendations (the Council should):	Action	Progress	Target Completion Date	Responsible Officer	Status	Update
							Strategy, links to our rural towns and 10 towns initiatives.
R7(3): Waste Strategy	It has clear and sustainable plans for financing its strategy (including contingency plans if Welsh Government funding is not available).	Financial position to be clarified within the Waste Strategy Report. Continue dialogue with WG on support for future waste strategy. Detail of support to be worked through as approval in principle has been provided.	As above	March 2022	Ainsley Williams/Dan John/Chris Moore	Completed	WG funding agreed for the Phase 2 roll-out (funding profile to be refined as plan progresses). Funding of electric vehicles as part of the Phase 1 roll out has been agreed. County Council funding has been agreed for the Phase 1 interim roll out.
R7(4): Waste Strategy	It devotes sufficient time to consult the public on its proposed changes to waste collection arrangements.	Outcome of the engagement exercise to be included in the waste strategy report as part of the considerations for the new strategy	Public engagement exercise completed in July 21	October 21	Dan John/Geinor Lewis in conjunction with the Corporate Communications team.	Completed (in planning terms).	The main engagement exercise was completed in July 21, to inform the drafting of the new waste strategy. Further engagement and awareness raising will form an integral part of the future roll-out process, as is normally the case with any change to the collection regime. Resource requirements are already known and planned. Consultation with the workforce is already under way.
R7(5): Waste Strategy	It develops and implements an engagement strategy focussing on the behavioural change required for the successful launch and adoption by the public of its new strategy (the Welsh Government Blueprint collection model)4.	Identify resource requirements and programme of public engagement prior to implementation of changes.	Engagement resource identified. Recruitment to follow. Engagement plan being developed.	June 22	Dan John/Geinor Lewis in conjunction with the Corporate Communications team.	In progress	The exact details of the engagement plan is currently being developed. The current focus is on Phase 1 of the roll-out. A communications and engagement plan is being created and managed by the Communication workstream – within the waste transformation project governance structure, supported by Wrap Cymru.
R8(1): Business Plan	Set out clear accountable actions for its waste service which are specific measurable and timebound.	Specific actions to be developed in line with proposed waste strategy		March 22	Ainsley Williams/Dan John	Completed	All actions relating to the waste strategy are set out in the 2023-25 Business Plan.

Audit Wales Reference	Recommendations (the Council should):	Action	Progress	Target Completion Date	Responsible Officer	Status	Update
R8(2): Business Plan	Include performance measures that re linked to the actions which have clear targets and success actions.	As above		March 22	Ainsley Williams/Dan John	Completed	As above

Appendix 2:

Waste Strategy Implementation Plan Synopsis

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1. Introduction

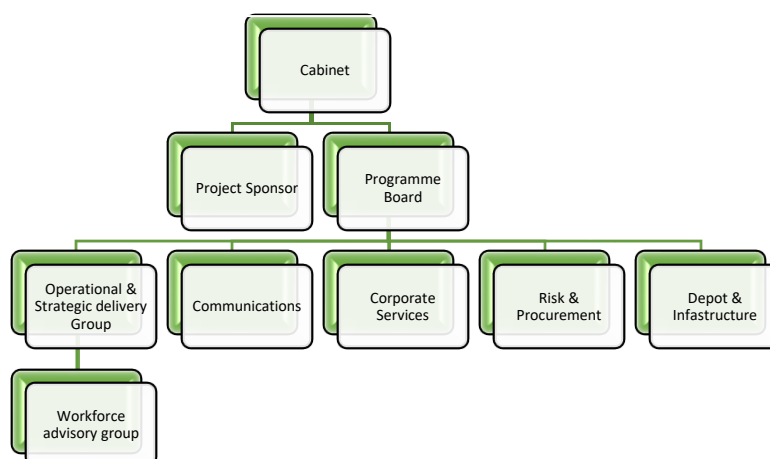
- 1.1 Carmarthenshire Waste Strategy 2021-2025 was approved by cabinet on 4th October 2021. This strategy outlines the Local Authorities objective to achieve a change in collection methodology in a phased approach by 2024. We are aiming to adopt the Welsh Government's recommended service profile for the collection of household waste, known as the Blueprint Kerbside Collection Methodology. This system achieves high rates of high-quality recycling, significant cost savings and improved sustainable development outcomes. This collection method will require Carmarthenshire's residents to separate their recycling into separate containers/bags and present on kerbside for collection.
- 1.2 Due to the magnitude of this service change, which will in time affect every household in Carmarthenshire which is over 91,000 households, and involve significant capital purchase, infrastructure development, workforce changes and HR implications it has been decided that the service change will be split into three phases:
- 1.3 **Phase 1 - Autumn 2022 [Aiming October 2022]**
 - 3 Black bags will be collected every 3 weeks from every household in Carmarthenshire, instead of fortnightly
 - Co-mingled recycling in blue bags [as currently] will be increased to be picked up weekly instead of fortnightly
 - Kerbside Glass collection will commence and will be collected every three weeks to mirror the residual waste. Some type of properties may not be included in the initial launch – these types of properties will be confirmed closer to the date, as Risk Assessments are currently being undertaken.
 - Food waste will continue to be collected weekly
- 1.4 **Phase 2 - Autumn 2024 [Aiming for October – November 2024]**
 - The 3 residual bags will continue to be collected every three weeks
 - Weekly Full kerbside sort to be launched to most of the County.
- 1.5 Full kerbside sort will include a container/sack for:
 - Paper, Newspaper and Magazines
 - Glass and jars
 - Card and cardboard
 - Plastic bottles, pots, tubs, trays and metal cans, tins and foil trays
 - Food waste
 - Batteries, textiles and small electrical items
- 1.6 **Phase 3 Post 2024 – 2025 Review**
 - Schedule removal of glass banks at current recycling sites
 - Review of specific properties that require further consideration.

2. Strategy Aim and Business objectives.

- 2.1 The Welsh Government is working to make Wales a greener, more equal, and more prosperous country. How waste is managed and the resources that are used has become even more crucial in the growing fight to tackle climate change.
- 2.2 The Welsh Government set statutory recycling targets for Local Authorities – this has increased household recycling from 5.2% (1998-99) to globally leading figures of 64% (2019-20).
- 2.3 As a County we just met the 2019/2020 recycling target of 64% with recycling Target set at 70% for 2024/2025. To achieve the 70% target, improvements need to be put in place, but as volume and recycling rates increase, we are under more demand to provide higher quality, un contaminated recycling materials to ensure that it can be used to make new products within the recycling markets. By moving to the blueprint methodology this will help us achieve these demands.
- 2.4 By increasing the recycling material collection to weekly, we will be decreasing the amount of recycling material that enters the residual waste stream.
- 2.5 Corporately, this waste service change sits within our Corporate plan where we have identified that we need to “look after the environment now and for the future” and feeds into the corporate strategy of our commitment of becoming a net zero carbon authority by 2030.

3. Governance around the Waste Service Change project

- 3.1 Given the magnitude of the project from procuring interim vehicles, finalising long term service costs, agreeing funding from Welsh Government, it has been paramount to agree a governance structure for the project.
- 3.2 This governance structure will ensure that the decision-making process regarding infrastructure investment and operational issues is clear, concise, effective, transparent and accountable. Key links will continue to be strengthened with other Strategies within the Local Authority such as the “Route towards becoming a Net Zero Carbon Local Authority Strategy by 2030.”
- 3.3 The Governance structure that has been agreed can be seen below:



3.4 Workstreams

- 3.5 It has been agreed that there are five workstreams as part of the governance. Each workstream will appoint its own convenor/chair and be responsible for delivering a set of actions outlined and agreed by the Programme Board. The chair of each workstream will attend the Programme Board. While the project workstreams will be fundamentally internal to the Council, there are opportunities for partner representation when it proves worthwhile or necessary (for instance WRAP Cymru, CWM, WG)
- 3.6 As you can see below each workstream has its remit to successfully achieve the end goal of the project, with a project manager collating and managing agenda and action logs from each of the workstreams.

Operational and Strategic Delivery Group	Communications Group	Corporate Services	Depot & Infrastructure	Risks & Procurement	Workforce Advisory Group
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4. Resources

- 4.1 A waste Transformation Project Manager was employed at the beginning of October 2021, to project manage the waste service change. The project manager has been identified as the person who has the responsibility for the successful initiation, planning, design, execution, monitoring, controlling of the project by also ensuring that critical areas are controlled such as the scope, schedule, resource, finance, Quality and risks.
- 4.2 The project manager ensures that the governance structure is adhered to with agendas, action logs circulated to its members and ensuring that key tasks are completed and assigned to the identified key person.
- 4.3 Regular meetings are undertaken between the Project Manager, Head of Service, and the Director of Environment to evaluate progress and identify any key concerns.

4.4 We also have WRAP Cymru CCP team supporting us in the Waste Service Change by:

- Undertaking options modelling and business planning to support decisions taken on future of service
- Providing support and technical advice to develop detailed mobilisation plans to achieve the agreed service changes by 2024
- Supporting Waste Transfer Station/ Household Waste Recycling Centre (HWRC) development and permitting
- Providing support to market materials collected for recycling
- Providing guidance and advice on service change communications
- Specific practical support on relevant operational issues

5. Project mobilisation plan

5.1 Due to the magnitude of this waste service change the project manager has been working closely with WRAP Cymru to develop a project mobilisation plan, which provides the framework and schedule for the project to reach its goal. As the project has been split into three phases it has been agreed that there will be three separate project plans.

5.2 A project mobilisation plan has been derived to ensure phase 1 is successfully rolled out with phase 2 and phase 3 mobilisation plans in the process of being developed.

5.3 The mobilisation plan for phase 1 can be split into three stages:

5.4 Stage 1 – Vehicle Procurement

- Electric/Diesel split & number
- Glass collection vehicles
- Routing
- Delivery of vehicles
- Contingency
-

5.5 Stage 2 – Planning

- Design, planning and construction of operational arrangements.
- Design of glass boxes, procurement & delivery
- Contingency measures
- H&S and safe working practices including training
- Comms
- Glass Vehicle Routing
- Wrapping of vehicles (livery)

- Transport and tip off arrangements.
- Logistics
- Permits
- HR considerations.
-

5.6 Stage 3 – Delivery

- Roll Out of weekly recycled co-mingled blue bags and 3 weekly residual and glass collection - October 2022
- 5.7 The project plan breaks each of these stages into detailed actions, with a responsible person assigned to complete each task by an identified date. The project manager will monitor the project plan to ensure tasks are completed on time and the project is kept on track. The mobilisation plan provides guidance and direction to the service change and ensures key actions are identified, accounted for and identifies accountability for each task. It is the mobilisation plan that governs the agenda for the workstreams to ensure objectives are met and also for transparency.

6. Communication Plan

- 6.1 Due to the magnitude of this project a communication plan sits outside the project plan and again is split into three different phases. Both our internal comms team and the communication Officer from WRAP Cymru are jointly responsible for the communication plan with our project manager actively involved.
- 6.2 The communication plan records who must receive what specific information, when this information must be supplied and which channels must be used for this purpose, for both within the Local Authority and external.
- 6.3 It also holds the branding information for the waste service change including designs for kerbside boxes and wrapping of vehicles.

7. Conclusion

- 7.1 To conclude, there will be three phases to this waste service change with Phase 1 detailed planning currently under way in preparation for implementation from October 2022.
- 7.2 As we near completion of phase 1, the project manager, with WRAP Cymru will commence the project plan for phases 2 and 3.

Governance & Audit Committee 11 March 2022

Subject and Purpose: Internal Audit Plan Update 2021/22		
Recommendations / key decisions required: To receive the report.		
Reasons: Regular progress report to be presented to each Governance & Audit Committee meeting.		
Relevant scrutiny committee to be consulted: N/A		
Cabinet Decision Required: N/A Council Decision Required: N/A		
CABINET MEMBER PORTFOLIO HOLDER: Cllr D Jenkins		
Directorate: Corporate Services Name of Head of Service: Helen Pugh Report Author: Caroline Powell	Designation: Head of Revenues and Financial Compliance Principal Auditor	Tel No.: 01267 246223 E Mail Address: HLPugh@carmarthenshire.gov.uk CaPowell@carmarthenshire.gov.uk

Governance & Audit Committee 11 March 2022

Internal Audit Plan Update 2021/22

1. BRIEF SUMMARY OF PURPOSE OF REPORT.

To provide Members with progress of the Internal Audit Plan. The following Reports are attached:

Internal Audit Plan Progress Reports for 2021/22

Due to the ongoing situation with the Covid-19 pandemic, and particularly the outbreak of the Omicron variant and its resultant restrictions over the Christmas period, further Internal Audit resources have been required to assist with the processing and payment of grant funds.

In particular:

- Further Internal Audit assistance has been required to undertake duplication checks to ensure fraudulent claims, or duplicate claims made in error, are not paid. This work is continuing for self-isolation payments and Winter Fuel payments, but has now also commenced for the new NDR Emergency Fund.
- Two members of Internal Audit staff have been temporarily redeployed to assist with processing the applications made for self-isolation payments and Winter Fuel payments.

In order to resource these requirements, the following Audit Assignments are proposed to be deferred to the 2022/23 Audit Plan:

- Welsh Language Standards
- Disaster Recovery & Business Continuity
- Waste

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
Internal Audit Plan 2021/22	AC 26-03-21	Agenda for Governance & Audit Committee on Friday, 26th March, 2021, 2.00 pm

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INTERNAL AUDIT PLAN 2021/22										
2021/22	% Plan Completion to Date	78.0%								
Job No	Departments	Days Planned	Pre. Audit Meeting	Terms of Reference Issued	Commenced	Field Work Complete	Draft Report Issued	Complete / Final Report Issued		Assurance Rating / Engagement Type
	Fundamentals									
1121001	Creditor Payments	30	*	*	*					
1121002	Expenditure	30	*	*	*	*	*			
1121003	NNDR	20	*	*	*	*	*	*		Acceptable
1121004	Payroll	30	*	*	*	*	*			
1121005	Travel & Subsistence	20	*	*	*	*	*			
	Total Audit Days for Fundamentals	130								
	Corporate Governance Assurance									
2121001	Annual Governance Statement/Corporate Governance Arrangements	20	*	*	*					
2121002	Performance Management	20	*	*	*	*				
2121003	Welsh Language Standards	20	/	/	/	/	/	/		Deferred to 2022/23
7221002	Winter Fuel Support Scheme	15	*	/	*					
	Total Audit Days for Corporate Governance Assurance	75								
	COVID-19									
3121001	Covid-19 Duplication Checks (NNDR and Self-Isolation Payments)	20	*	*	*					
3121002	COVID-19 Free School Meals Payments	20	*	*	*					
3121003	COVID-19 Systems and Processes	20	*	/	*					
3121004	COVID-19 Working Groups	20	*	/	*					
3121005	COVID-19 Extra Duplication Checks January 2022	0	*	/	*					
	Total Audit Days for COVID-19	80								
	Corporate Review Work									
4121001	Brexit	20	*	*	*					
4121002	External Arrangements	20	*	*	*					
4121003	Contract Management	15	*							
4121004	Procurement	15	*	*	*	*	*	*		Acceptable
4121005	Safeguarding - Adults	10	*	*	*					
4121006	Safeguarding - Children	10	*	*	*					
4121007	Staffing Matters	20	*	*	*	*	*			
	Total Audit Days for Corporate Review Work	110								
	Counter Fraud									
5121001	Fraud Prevention, Detection and Investigation	40	*	/	*					
5121002	National Fraud Initiative	30	*	/	*	*	/	*		Investigatory/Assurance
5121003	Proactive Fraud Testing	20	*	/	*					
	Total Audit Days for Counter Fraud Work	90								
	Grants & Certification									

6121001	Burry Port Harbour	10	*	/	*	*	/	*	Accounts Return
6121002	Children & Communities Grant	25	*	/	*	*	/	*	Certification
6121003	Education Improvement Grant - EOY	15	*	*	*	*	*	*	Certification
6121004	Education Improvement Grant - Q3	15	*	/	*	*	/	*	Certification
6121006	Enable Grant	10	*	/	*	*	/	*	Certification
6121007	HSG - Homelessness	12	*	/	*	*	/	*	Certification
6121008	HSG - Rent Smart Wales	10	*	/	*	*	/	*	Certification
6121009	HSG - Supporting People	13	*	/	*	*	/	*	Certification
6121010	Local Authority Education Grant	20	*	/	*	*	*	*	Assurance for Sign Off
6121011	Other Grants (where assurance is required for sign-off)	20	*	/	*	*	/	*	Assurance for Sign Off
6121012	Wales Pension Partnership	5	*	/	*	*	/	*	Accounts Return
6121013	Post 16 Grant	10	*	/	*	*	/	*	Certification
6121014	Pupil Deprivation Grant - EOY	15	*	*	*	*	*	*	Certification
6121015	Pupil Deprivation Grant - Q3	15	*	/	*	*	/	*	Certification
6121017	Trust Funds - Arbour Stephens	5	*	*	*	*	/	*	Certification
6121018	Trust Funds - Dyfed Welsh Church Fund	5	*	*	*	*	*	*	Acceptable
6121019	Trust Funds - Minnie Morgan	5	*	*	*	*	/	*	Certification
6121020	Trust Funds - Oriel Myrddin	5	*	*	*	*	/	*	Certification
6121021	Regional Development Co-ordinator Grant	5	*	/	*	*	/	*	Certification
	Total Audit Days for Grants & Certification	220							
	Chief Executive's Department (not incl IT)								
7121001	Civil Registrations Service	10	*	*	*				
7121002	People Management & Performance	20	*						
7121003	Regeneration Kickstart	10	*	*	*	*	*	*	Consultation
7121003	Regeneration & Economic Development	10	*	*	*	*	*		
7121004	Surplus Properties	15	*	*					
	Total Audit Days for Chief Executive's Department (not incl IT)	65							
	Chief Executive's Department: IT								
7221001	Cloud Solutions	15	*	*	*	*	*	*	Acceptable
7221003	Disaster Recovery and Business Continuity	15	*	/	/	/	/	/	Deferred to 2022/23
	Total Audit Days for Chief Executive's Department: IT	30							
	Communities								
7321001	Appointeeships	15	*	*	*				
7321002	Housing Voids	15	*	*	*				
7321003	Affordable Homes	15	*	*	*				
7321004	Leisure Centres	20	*	*	*	*			
7321005	Pembrey Ski Centre	5	*	*	*	*	*	*	High
7321006	Social Care (Assignment to be agreed)	20							
	Total Audit Days for Communities	90			% Complete to Date		37.2%		
	Corporate Services								
7421001	Financial Management Other	15	*	*	*	*	*		
7421002	Insurance	15	*	*	*				

	Total Audit Days for Corporate Services	30								
	Education & Children									
7521001	Residential Units	15	*	*	*					
7521002	School Meals Allergens	15	*	*	*	*	*			
7521003	Schools (incl School Questionnaires)	40	*	/	*	*	*	*		Assurance
7521004	Welfare Cards Follow Up	10	*	/	*	*	*	*		Consultation
7521005	Welsh For Adults	10	*	*	*					
	Total Audit Days for Education & Children	90								
	Environment									
7621001	Building Control	15	*	*	*	*	*	*		High
7621002	Climate Change	15	*	*	*	*				
7621003	Environmental Enforcement	10	*	*	*	*	*	*		High
7621004	Fleet Management	10	*	*	*	*	*	*		Acceptable
7621005	Highway Maintenance/Road Safety	10	*	*						
7621006	Property	15	*	*	*	*	*			
7621007	Waste	15	/	/	/	/	/	/		Deferred to 2022/23
	Total Audit Days for Environment	90								

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Governance & Audit Committee 11 March 2022

Internal Audit Recommendations		
Recommendations / key decisions required: To receive the report.		
Reasons: An update on Internal Audit recommendations to be presented to the Audit Committee on an annual basis.		
Relevant scrutiny committee to be consulted: N/A		
Cabinet Decision Required: N/A		
Council Decision Required: N/A		
CABINET MEMBER PORTFOLIO HOLDER: Cllr D Jenkins		
Directorate: Corporate Services Name of Head of Service: Helen Pugh Report Author: Caroline Powell	Designation: Head of Revenues and Financial Compliance Principal Auditor	Tel No.: 01267 246223 E Mail Address: HLPugh@carmarthenshire.gov.uk CaPowell@carmarthenshire.gov.uk

Governance & Audit Committee

11 March 2022

Internal Audit Recommendations

1. BRIEF SUMMARY OF PURPOSE OF REPORT.

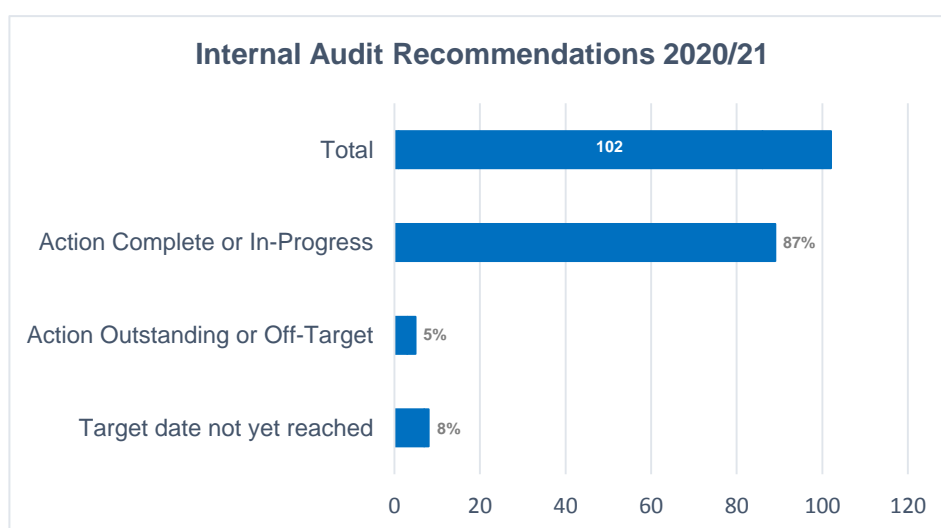
The Internal Audit division maintains a log of all Internal Audit Reports issued. The recommendations made as part of these Reports are uploaded onto the Council's Performance Information Monitoring System (PIMS).

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

This information below details the progress status of Internal Audit recommendations relating to the 2020/21 financial year.

Update on 2020/21 Internal Audit Recommendations

Recommendation Ratings	Total Recommendations Made	Action Complete or In-Progress	Action Outstanding or Off-Target	Target date not yet reached	% Complete or In-Progress per Recommendation Rating
3*	1	1	0	0	100%
2*	85	75	3	7	88%
1*	16	13	2	1	81%
	102	89	5	8	
		87%	5%	8%	



DETAILED REPORT ATTACHED?

NO

IMPLICATIONS

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

Signed: 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
Internal Audit Plan 2021/22	AC 26-03-21	Agenda for Governance & Audit Committee on Friday, 26th March, 2021, 2.00 pm

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Governance & Audit Committee 11 March 2022

Subject and Purpose: Internal Audit Plan 2022/23 & Planned Coverage for 2022-25		
Recommendations / key decisions required: To approve the Annual Internal Audit Plan for 2022/23 and to confirm the planned coverage for 2022-25.		
Reasons: The Public Sector Internal Audit Standards (PSIAS) require a risk-based Internal Audit Plan to be prepared each year to determine the priorities of Internal Audit and ensure they are consistent with the Council's goals and objectives.		
Relevant scrutiny committee to be consulted: N/A		
Cabinet Decision Required: N/A Council Decision Required: N/A		
CABINET 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

Governance & Audit Committee 11 March 2022

Internal Audit Plan 2022/23 & Planned Coverage for 2022-25

1. BRIEF SUMMARY OF PURPOSE OF REPORT.

The Internal Audit Plan for 2022/23 has been compiled considering the Authority's Corporate Risk Register and Service Risk Registers, thus ensuring appropriate coverage and consideration of the Authority's highest risks. In addition to this, Internal Audit has liaised with the Corporate Management Team and Heads of Service in devising the plan and also taken account of any changes in services.

The Plan assumes full staffing within the section.

The Internal Audit Plan includes coverage of:

- Fundamental Audits
- Corporate Governance Assurance
- COVID-19 Assurance
- Corporate Reviews
- Grants and Certification
- Departmental Reviews

The following reports are attached:

Internal Audit Plan 2022/23

Internal Audit Planned Coverage 2022 - 2025

DETAILED REPORT ATTACHED?

YES

IMPLICATIONS

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

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

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

Finance

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

Risk Management

The Internal Audit Plan for 2022/23 has been compiled considering the Authority's Corporate Risk Register and Service Risk Registers.

CONSULTATIONS

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

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

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

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 2021-2024	AC 26-03-21	Agenda for Governance & Audit Committee on Friday, 26th March, 2021, 2.00 pm

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Carmarthenshire County Council - Internal Audit Plan 2022/23

Required Assurance - Fundamental Audits	Type of Engagement	Risk Consideration	Audit Plan Days 2022/23
Capital Accounting including Fixed Asset Register	Assurance	Fundamental	20
Cash & Bank	Assurance	Fundamental	15
Creditor Payments	Assurance	Fundamental	30
Debtors System	Assurance	Fundamental	20
Housing Benefits	Assurance	Fundamental	20
Payroll System	Assurance	Fundamental	30
Pensions Payroll System	Assurance	Fundamental	20
VAT	Assurance	Fundamental	15
Total			170

Corporate Governance Assurance	Type of Engagement	Risk Consideration	Audit Plan Days 2022/23
Annual Governance Statement/Corporate Governance Arrangements	Assurance	Corporate Risk Register	20
Regulatory Recommendations	Assurance	CMT identified	10
Data Protection	Assurance	Service Risk Register	20
Welsh Language Standards	Assurance	Corporate Risk Register	20
Freedom of Information	Assurance	Corporate Risk Register	20
Risk Management Arrangements	Assurance	Corporate Risk Register	10
Total			100

COVID-19	Type of Engagement	Risk Consideration	Audit Plan Days 2022/23
Covid-19 Duplication Checks and Payments	Assurance	Corporate Risk Register	40
COVID-19 Systems and Processes	Consultation	Corporate Risk Register	20
COVID-19 Working Groups	Consultation	Corporate Risk Register	10
Total			70

Corporate Review Work	Type of Engagement	Risk Consideration	Audit Plan Days 2022/23
CCC Companies	Assurance	Corporate Risk Register	30
Contract Management	Assurance	Corporate Risk Register	20
Procurement	Assurance	Corporate Risk Register	20
Safeguarding	Assurance	Corporate Risk Register	20
Staffing Matters	Assurance	Corporate Risk Register	20
Total			110

Counter Fraud	Type of Engagement	Risk Consideration	Audit Plan Days 2022/23
Fraud Prevention, Detection and Investigation	Investigatory	Corporate Risk Register	40
Proactive Fraud Testing	Assurance	Corporate Risk Register	20
Total			60

Grants and Certification	Type of Engagement	Risk Consideration	Audit Plan Days 2022/23
Burry Port Harbour	Accounts Return	Certification	10
Children & Communities Grant	Certification	Corporate Risk Register	25
Education Improvement Grant	Certification	Corporate Risk Register	30
Enable Grant	Certification	Corporate Risk Register	10
Housing Support Grant	Certification	Corporate Risk Register	40
Local Authority Education Grant	Assurance for Sign Off	Corporate Risk Register	20
Other Grants (where assurance is required for sign-off)	Assurance for Sign Off	Corporate Risk Register	20
Wales Pension Partnership	Accounts Return	Certification	5

Post 16 Grant	Certification	Corporate Risk Register	10
Pupil Deprivation Grant	Certification	Corporate Risk Register	30
Trust Funds	Certification	Certification	20
Total			220

Departmental Reviews	Type of Engagement	Risk Consideration	Audit Plan Days 2022/23
Chief Executive's Department (not including IT)			
Departmental Income	Assurance	IA identified	15
Local Government & Elections Act	Assurance	CMT identified	10
Net Zero Carbon	Assurance	Corporate Risk Register	20
Regeneration & Economic Development	Assurance	Corporate Risk Register	20
PMP: Workforce Planning	Assurance	Service Risk Register	20
Chief Executive's Department: IT			
Cyber Security	Assurance	Corporate Risk Register	15
Disaster Recovery and Business Continuity	Assurance	Corporate Risk Register	15
Communities			
Departmental Income	Assurance	IA identified	15
Disabled Facilities Grants (DFGs)	Assurance	Corporate Risk Register	15
Disrepair Claims	Assurance	IA identified	15
Health, Fitness & Dryside portfolio	Assurance	Department identified	20
Social Care (Assignment to be agreed)	Assurance	Department identified	20
Corporate Services			
Departmental Income	Assurance	IA identified	15
Corporate Credit Card	Assurance	IA identified	15
Education & Children			
Departmental Income	Assurance	IA identified	15
Youth Support Service Pre-paid Cards	Assurance	IA identified	15
Schools Expenditure	Assurance	Corporate Risk Register	30
Schools (incl School Questionnaires)	Assurance	Corporate Risk Register	40
Welfare Cards	Assurance	IA Low Assurance	10
Environment			
Departmental Income	Assurance	IA identified	15
Fleet Management	Assurance	Service Risk Register	10
Waste	Assurance	Corporate Risk Register	15
Planning: Development Management	Assurance	Corporate Risk Register	20
Property	Assurance	Service Risk Register	15
Asset Management	Assurance	Service Risk Register	15
Total			430

TOTAL DAYS

1160

Additional Work		Days
Departmental Advisory Work		40
Various Departmental Working Groups		40
Total		80

TOTAL DAYS	1240
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Carmarthenshire County Council - Internal Audit 3 Year Plan 2022/23

	2022/23	2023/24	2024/25
Required Assurance - Fundamental Audits			
Budget Setting and Monitoring		✓	
Capital Accounting including Fixed Asset Register	✓		
Cash & Bank	✓		
Council Tax		✓	
Creditor Payments	✓	✓	✓
Debtors System	✓		
Deputyships		✓	
Expenditure			✓
Housing Benefits	✓		
Income		✓	
Main Accounting		✓	
NNDR			✓
Payroll System	✓	✓	✓
Pensions Payroll System	✓		
Petty Cash / Sundry Expenses		✓	
Travel & Subsistence System			✓
Treasury Management - Loans & Investments (CCC and DPF)		✓	
VAT	✓		
Corporate Governance Assurance			
Annual Governance Statement/Corporate Governance Arrangements	✓	✓	✓
Corporate Strategy/Policy Making		✓	
Data Protection	✓		
Declaration of Interests		✓	
Ethics		✓	
Freedom of Information	✓		
Performance Management			✓
Regulatory Recommendations	✓	✓	✓
Risk Management Arrangements	✓		
Wellbeing of Future Generations Act		✓	
Welsh Language Standards	✓		
Whistleblowing			✓
COVID-19			
Covid-19 Duplication Checks and Payments	✓		
COVID-19 Systems and Processes	✓		
COVID-19 Working Groups	✓		

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

Governance & Audit Committee 11 March 2022

Subject and Purpose: Governance & 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 2022/23 Governance & Audit Committee Cycle.		
Relevant scrutiny committee to be consulted: N/A		
Cabinet Decision Required: N/A Council Decision Required: N/A		
CABINET MEMBER PORTFOLIO HOLDER: Cllr D Jenkins		
Directorate: Corporate Services Name of Head of Service: Helen Pugh Report Author: Caroline Powell	Designation: Head of Revenues and Financial Compliance Principal Auditor	Tel No.: 01267 246223 E Mail Address: HLPugh@carmarthenshire.gov.uk CaPowell@carmarthenshire.gov.uk

Governance & Audit Committee 11 March 2022

Governance & Audit Committee Forward Work Programme

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

The following Report is attached:
Forward Work Programme

DETAILED REPORT ATTACHED?

YES

IMPLICATIONS

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

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

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

CONSULTATIONS

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

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

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

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	Mar-22	Jul-22	Sep-22	Dec-22
Appointment of Audit Committee: - Chair - Vice Chair	Corporate Services	Governance & Audit Committee		✓		
Annual Audit Report	Corporate Services	Head of Revenues and Financial Compliance		✓		
Forward Work Programme	Corporate Services	Head of Revenues and Financial Compliance	✓	✓	✓	✓
Internal Audit Plan Update	Corporate Services	Head of Revenues and Financial Compliance	✓	✓	✓	✓
Internal Audit indicative three year plan	Corporate Services	Head of Revenues and Financial Compliance	✓			
Assurance Reviews: - Fundamental financial systems - 3* reports	Corporate Services	Head of Revenues and Financial Compliance	As Required			
Progress Report - Delivery of External Audit Recommendations	ICT & Policy	Performance Planning Section				✓
Progress Report - Delivery of Internal Audit Recommendations	Corporate Services	Head of Revenues and Financial Compliance	✓			
Internal Audit Progress Updates requested by Audit Committee:	Corporate Services	Head of Revenues and Financial Compliance	As Required			
Progress reports as requested by Audit Committee						
- Strategic Commissioning of Accommodation Services for Adults with Learning Disabilities	Communities	Head of Mental Health and Learning Disabilities	✓			
- Review of Planning Services	Environment	Interim Head of Planning		✓	✓	✓
- Review of Waste Services	Environment	Head of Waste and Environmental Services	✓	✓	✓	✓
- Schools' Deficits and Surpluses	Education & Children	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	✓		✓	
Receive the Corporate Annual Report	ICT & Policy	Corporate Policy & Partnership Manager		✓		
Receive the Annual Complaints Report	ICT & Policy	Corporate Policy & Partnership Manager		✓		
Statement of Accounts including Annual Governance Statement for Carmarthenshire County Council - To be received - To be approved	Corporate Services	Head of Financial Services		✓	✓	
Statement of Accounts including Annual Governance Statement for Dyfed Pension Fund - To be received - To be approved	Corporate Services	Head of Financial Services			✓ ✓	
Burry Port Harbour Accounting Statement - To be received - To be approved	Corporate Services	Head of Financial Services		✓	✓	
Audit enquiries to those charged with governance and management for: - Carmarthenshire County Council - Dyfed Pension Fund	Corporate Services	Head of Financial Services			✓	
Single Tender Action	Corporate Services	Director of Corporate Services	As Required			
Minutes for noting: - Grants Panel - Corporate Governance Group - Risk Management Steering Group	Corporate Services	Head of Revenues and Financial Compliance Head of Financial Services	✓	✓	✓	✓
Audit Wales: - Audit Plan Update	Corporate Services	Audit Wales		✓	✓	✓
- Financial Statements – ISA260 Report presented to those charged with Governance in relation to the Statement of Accounts for: o Carmarthenshire County Council o Dyfed Pension Fund					✓ ✓	
- Annual returns – Reports re independent examination for: o Burry Port Harbour Authority					✓	
- Letter of Representation o Carmarthenshire County Council o Dyfed Pension Fund					✓ ✓	
- Annual Audit Letter o Carmarthenshire County Council			✓			
- Audit Plans, including information on fees o Carmarthenshire County Council o Dyfed Pension Fund			✓			

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Governance & Audit Committee Training / Informal Sessions

Subject area and brief description of session	Lead Department	Responsible Officer(s)														
			Summer 2019	Autumn 2019	Winter 2019	Spring 2020	Summer 2020	Autumn 2020	Winter 2020	Spring 2021	Summer 2021	Autumn 2021	Winter 2021	Spring 2022	Summer 2022	Autumn 2022
Meeting with Auditors	Corporate Services	Director Corporate Services Head of Revenues and Financial Compliance		✓		✓		✓				✓				✓
Governance & Audit Committee - Self Assessment	Corporate Services	Director Corporate Services Head of Revenues and Financial Compliance												✓		
Risk Register	Corporate Services	Director Corporate Services Head of Revenues and Financial Compliance			✓	✓		✓		✓		✓		✓		✓
Risk Management & Risk Appetite	Corporate Services	Director Corporate Services Head of Revenues and Financial Compliance											✓			
Statement of Accounts & Annual Governance Statement	Corporate Services	Director Corporate Services Head of Revenues and Financial Compliance	✓				✓				✓				✓	
Fraud Awareness	Corporate Services	Director Corporate Services Head of Revenues and Financial Compliance						✓								
Local Authority Trading Companies	Corporate Services	Director Corporate Services Head of Revenues and Financial Compliance												✓		

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Governance and Audit Committee 11 March 2022

Carmarthenshire County Council's Corporate Risk Register 2021/22

Recommendations / key decisions required:

- To receive the Corporate Risk Register

Reasons:

- To ensure that the Governance and Audit Committee are made aware of the Corporate Risks

Relevant scrutiny committee to be consulted: Yes – Governance & Audit Committee (11th March 2022)
Cabinet decision required: No
Council Decision required: No

Cabinet Member Portfolio Holder: Cllr. David Jenkins (Resources)

Directorate: Corporate Services Name of Director: Chris Moore Report Authors: Helen Pugh	Designations: Director of Corporate Services Head of Revenues & Financial Compliance	Tel Nos. / E-Mail Addresses: 01267 224120 cmoore@carmarthenshire.gov.uk 01267 246223 hpugh@carmarthenshire.gov.uk
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Governance & Audit Committee

11th March 2022

Carmarthenshire County Council's Corporate Risk Register 2021/22

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

Removal of risks from the Corporate Risk Register

No risks removed.

New risks added to the Corporate Risk Register:

- i) Continued deterioration of highways infrastructure and assets. Failure to address maintenance backlog (£38 million), as a consequence of falling investment levels leading to high levels of demand. Increased level of claims

Report Attached:	YES
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IMPLICATIONS

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

Signed:	Chris Moore – Director of Corporate Services
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Policy, Crime & Disorder and Equalities	Legal	Finance	ICT	Risk Management Issues	Staffing Implications	Physical Assets
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None	None	None	NONE	Yes	NONE	NONE
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4. Risk Aims of the Corporate Risk Register to collate strategic risks facing the Authority.

CONSULTATIONS

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

Signed:	Chris Moore – Director of Corporate Services
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1. Scrutiny Committee – Audit Committee will be required to receive the Corporate Risk Register at its meeting scheduled for 11 March 2022.

2. Local Member(s) – N/A

3. Community / Town Council – N/A

4. Relevant Partners – N/A

5. Staff Side Representatives and other Organisations – N/A

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

THERE ARE NONE

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CARMARTHENSHIRE CORPORATE RISK REGISTER

Risk Ref	Risk Title	Assigned To			Last Review date	Next Review Date	
CRR190068	Continued deterioration of the condition of highways infrastructure and assets. Failure to address maintenance backlog (£38 million), as a consequence of falling investment levels leading to high levels of demand. Increased level of claims.	Director of Environment/Head of Transportation & Highways					
Control Measures		Review Date			Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190068/001	Manage network in accordance with Highways Asset Management Plan adopting a risk based approach in accordance with the National				Significant	Significant	
CRR190068/002	Continue to present the case for additional investment of capital , grant and revenue. Improve information systems on vulnerable.				25	25	
CRR190068/003	Inspection regime and response in line with highways asset management plan in compliance with Highways Maintenance Code of Practice					Catastrophic Probable	
Action Items							
• Proposed new risk for inclusion as a Corporate Risk		Jan-22					

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager Corporate Management Team

Risk Ref	Risk Title	Assigned To			Last Review date	Next Review Date	
CRR190049	Covid19 - Strategic Risk of local business and economy not recovering from the lockdown	Head of Regeneration					
Review Date					Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190049/001	Financial support to businesses				Significant	Significant	
CRR190049/002	Advice to businesses				25	20	
CRR190049/003	Support to businesses					Catastrophic	
CRR190049/004	Database of local suppliers and traders					Likely	
CRR190049/005	Robust economic recovery plan to protect jobs and safeguard businesses						
Action Items							
<ul style="list-style-type: none">We are agents for the Welsh Government Initiative for Business Grants. Progressive Procurement work-stream is working through recommendations in the CLES report to support Community Wealth building in the County. Working together with colleagues in Economic Development we are looking at our tender processes and general supplier engagement. The hardship Covid-19 fund supports Business Retail Leisure Rate Relief, non-Covid element of £27.7 million (all Wales Figure).January 2022 – Continue to deliver the Economic Recovery Plan and report outputs directly to RDT.		Jan-22					
Cardiff University is finalising the Local Innovation Strategy for Carmarthenshire and this will be reported to the Business Advisory Group. The risk remains the same as we have to deliver the Recovery Plan within a 2 year timeframe.		Jan-22					



Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190030	Coronavirus - Risk to business continuity, system failure and service delivery	Director of Communities		

Control Measures		Review Date			Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190030/006	Safe systems of work designed				Significant	Significant	
CRR190030/007	Consultations with TUs				20	20	
CRR190030/008	e-form developed to deal with redeployment requests					Catastrophic	
CRR190030/009	L&D Team have developed and are now managing the Redeployment Hub					Likely	
CRR190030/001	Services are updating their business continuity plans, with ongoing review carried out.						
CRR190030/002	Regional planning group in place with other public sector organisations						
CRR190030/003	Risks will be managed service by service daily monitoring						
CRR190030/004	Service specific plans prepared - assessing impact of 10%/20%/30% staff sickness						
CRR190030/005	Identify where there may be potential to free up capacity in some areas,						
CRR190030/010							
Action Items							
<ul style="list-style-type: none">Safe systems of work reviewed in line with WG guidance and business continuity plans in place; currently being reviewed and updated. Regional group continues to meet to address business continuity issues and areas of high risk. Risk continues to be monitored via Social Care Gold, and any mitigating action taken as a consequence. Staff absence levels affecting service delivery as is our ability to recruit into certain roles e.g. care staff and social work. Service need consequently being addressed on a risk assessed basis. New recruitment and retention plan in place in relation to social care roles. Workforce Hub has been reinstated to support critical services. Absence system updates can now provide updates in terms of live absences and areas of concern, Recruitment – streamlined processes, and new software system to be developed.		Jan-22					

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190061	Effect of Covid-19 and Brexit on recruiting and impact of workforce planning	Assistant Chief Executive		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190061/001 Revisited gradings for homecarers - recruitment hotspot		Significant	Significant	
CRR190061/002 Reviewing wider T&Cs to make post more attractive		25	20	
CRR190061/003 Other employee benefits to be promoted			Catastrophic	
CRR190061/004 Workforce planning workshops with CMT & HoS - corporate priority			Likely	
CRR190061/005 Reallocating responsibilities within People Management and Social Care to address crisis in hotspot area				
Action Items				
<div>• January 2022 – remains a significant risk to the Council. Impact of Brexit ongoing. Care sector particularly problematic. Additional resources funded by Social Care to support the overall recruitment process – comes to an end in March 2022 – this is a concern so Communities Department to consider ongoing funding arrangements. There are temporary relaxations around visas for European workers, so we are looking at Hong Kong Scheme to see how we take advantage of these relaxations (longer term piece of work to alleviate pressures – will need resourcing).</div> <div>In terms of Employee Benefits – the new Reward Hub is about to go live – this will sit within a suite of benefits which could also help to attract applicants.</div> <div>We have revamped our Jobs Page to improve the candidate experience and are currently out to tender for a new recruitment system – this will improve the overall candidate experience.</div> <div>Workforce Planning workshops went ahead with CMT / Heads of Service – outcomes of these workshops now need to be included in departmental Business Plans to address any succession planning concerns or skills gaps.</div> <div>Workforce planning data available for managers, next step managers to consider different paths forward to address the workforce planning issues.</div>	Jan-22			

Carmarthenshire Corporate Risk Register


Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190046	Covid19 - Strategic Failure to ensure the expected progress and outcomes of all Carmarthenshire learners for the period that operation of schools and learning establishments are affected by the pandemic	Director of Education & Children Services		
Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190046/001	We will work closely with schools to monitor wellbeing, progress and outcomes of all learners	Significant	Significant	
CRR190046/002	We will plan for seamless transition from delivery to distance learning when required for all learners	20	20 Catastrophic Likely	
Action Items				
<ul style="list-style-type: none"> The impact of failing to ensure the expected progress and outcomes of all Carmarthenshire learners remains catastrophic. Circumstances are being reviewed constantly and there is still a possibility of further school closures due to the pandemic and therefore the probability remains likely. <p>As students were unable to sit final exams, GCSE and A level grades for 2020-21 were determined by our teaching staff based on a range of evidence such as classwork, homework, mock exams and non exam assessments. Results can't be compared to previous years, but overall results are equivalent to or better than recent years.</p> <p>The Leadership Strategic Group continues to implement key actions gleaned from the Self Evaluation Process.</p> <p>The School Improvement Team have been re-engaging with schools during the Autumn term to monitor and evaluate the quality of teaching and learning. This process continues into the Spring term with Education Support Advisors supporting individual schools with individual issues.</p> <p>Over the previous 18 months the pandemic has caused school sites to be closed for long periods prompting a move to distance learning. This represented significant disruption to normality, though schools have tried hard to mitigate as much as possible under changeable circumstances. Blended / hybrid learning could feature more permanently going forward and we continue to plan and develop flexible learning models - to feature as a normal school life in the future, whilst also building further resilience if there are future disruptions to face to face teaching. ECS continues to evolve it's COVID response closely mirroring developments to National guidance.</p> <p>Schools will be maximising the impact of the RRRs grant (Recruit, Recover & Raise) with a clear focus on ensuring appropriate provision to support skills delivery of pupils impacted by the pandemic. The impact of this grant will be monitored by school improvement.</p>	Jan-22			

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190056	Ensuring that the Authority effectively manages its financial resources and responds to the challenges of reduced funding (formerly CRR190004)	Director of Corporate Services/Head of Financial Services		


Control Measures		Review Date			Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190056/001	Medium Term Financial Strategy - 5 Year Plan				Significant	Significant	
CRR190056/002	Full County Council Elected Member Engagement on an annual basis				20	20	15 
CRR190056/003	Challenge from Scrutiny Committees					Catastrophic	5
CRR190056/004	Public Consultation regarding budget priorities on an Annual Basis					Likely	
CRR190056/005	Engagement with Welsh Government via WLGA to ensure Carmarthenshire County Council						
CRR190056/006	TIC Programme to identify efficiencies and promote alternative methods of service delivery						
CRR190056/007	Workforce Planning to ensure staff resources are planned to match demand						
CRR190056/008	Wales Audit Office external challenge and assessment						
Action Items							
<ul style="list-style-type: none">January 2022 - most positive provisional settlement in recent years at 9% plus however, inflationary and inescapable pressures are also at unprecedented levels. Budget strategy assumes pay awards and inflation at 4% for 2022/23 with an additional contingency of £2 million added to base budget. However, risk surrounding Covid-19 hardship scheme is too large to fully mitigate. Future savings identification enhanced though independence external challenge. Pending confirmation of complete grants information in final settlement, Communities Department budgets increase £13m, Education & Children Services Department £11m increase.		Jan-22					

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190066	Insufficient numbers of social work and care staff to provide sufficient assessment and care capacity which provides a risk to vulnerable people in not having needs assessed and being unsupported and potentially unsafe in the community.	Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190066/001 Develop and implement social care recruitment and retention strategy.		Significant	Significant	16 
		25	20 Substantial Probable	4
Action Items				
<ul style="list-style-type: none">We continue to experience significant pressures with recruitment currently both for qualified social workers and unqualified care staff. These pressures are affecting both our in-house services and the wider independent care sector. From a social work perspective, this is impinging on our ability to assess new referrals in a timely way, and from a care perspective our ability to meet new demand particularly for domiciliary care. We are therefore in the process of implementing a recruitment and retention strategy for both care staff and social work staff. Since the last update, we have offered social workers in key areas where we are experiencing recruitment and retention difficulties a market supplement. We have also secured agency support to help supplement some of the social work and care staff gaps. Over the next few months, we will be looking at options to support social work career progression as a way to effectively retain and attract staff as well as a demand and capacity exercise to ascertain if our establishment is sufficient to deliver against current and future projected demand. In the meantime, we continuing to risk assess those waiting for social work assessment to ensure that those with the highest level of need are prioritised first. The inability to recruit and retain Approved Mental Health Professionals means that there is a risk we will be unable to fulfil our statutory responsibilities. From a care staff perspective, we are continuing to proactively recruit new staff with an aggressive recruitment campaign and are developing career pathways for care staff to improve retention, but we are not currently recruiting at a level over and above the numbers leaving the service.	Jan-22			

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Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date			
CRR190067	Lack of availability of domiciliary care to support vulnerable adults which leads to the risk of people being unsupported and potentially unsafe in the community, as well as people being delayed leaving hospital preventing others being able to access urgent medical treatment.	Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning					
Control Measures		Review Date			Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190067/001	Support the sector to grow the workforce.				Significant	Significant	
CRR190067/002	Review of all those receiving care to look at opportunities to safely reduce arrangements to release care hours to support other				25	20	16
CRR190067/003	Ongoing review of those waiting for care to reduce level of care needed.					Substantial	4
CRR190067/004	Consideration of temporary placement where appropriate to support those waiting for care.					Probable	
CRR190067/005	Bridge packages of care wherever possible.						
Action Items							
<ul style="list-style-type: none">We are experiencing significant pressures with availability of domiciliary care due to staffing availability both in-house and with external providers. As a consequence we have a significant number of people waiting for care in both the community and hospital, although the numbers waiting in hospital has reduced and many of those waiting at home are now being bridged by some form of alternative care as an interim measure. Whilst work is ongoing to address the underlying staffing pressures, both through national and local recruitment initiatives, this work will take time. <p>Therefore, the following controls continue to be progressed:</p> <p>Review of all those either receiving or waiting for care to see whether levels of care can safely be reduced, and care hours released. In addition, we are risk assessing all those waiting for care so we can prioritise those waiting when hours become available. Considering bridging opportunities to temporarily provide care whilst a long-term provider is sourced. Supporting those waiting in hospital for care to consider temporary residential placements where possible.</p>		Jan-22					

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190032	<div>Flood - Strategic Risk</div> <div>The physical effects of more frequent and intense storm conditions that compromise homes, businesses, essential infrastructure and services. This will also include the risk of managing the public's expectation that the Council can completely address, control and mitigate all flood risks regardless of source or asset owner.</div>	Director of Environment		

Control Measures		Review Date				Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190032/001	Flood Risk Strategy and FRMPs					Significant	Significant	
CRR190032/002	Community Plans in terms of self-help where practicable					20	16	20 
CRR190032/003	Continue to work with our professional partners (as a LLFA)						Substantial	-4
CRR190032/004	S19 Reports and action plans						Likely	
CRR190032/005	Pro-active maintenance programme for flood assets							
CRR190032/006	Making more use of contemporary flood data and information from partner agencies							
CRR190032/007	SAB for future development and TAN 15 compliance							
CRR190032/008	Effective communication strategy							
Action Items								
<div>• January 2022 –update (Ainsley Williams, Daniel John and Ben Kathrens)</div> <div>No change to current risk rating.</div> <div>The Flood Defence & Coastal Protection business unit are continuing to develop a pipeline of capital schemes, focusing on those communities at greatest risk as detailed in the Flood Risk Management plan. The next stage will need to include the development of resource resilience to realise the grant funding potential, whilst not compromising the ability to deliver on current activities. All Council flood defence assets will continue to be inspected annually and a programme of upgrades and repairs is being developed for 2022/23.</div> <div>An Emerging Risk is this area is TAN15. While delayed for 18-month, the new WG planning policy guidance TAN15, development and flood risk, and new associated flood maps, will place additional expectation to provide mitigation and defences as communities see their flood risk increase.</div>		Jan-22						

Risk Ref	Risk Title	Assigned To			Last Review date	Next Review Date	
CRR190033	<p>Flood - Operational Risk</p> <p>The physical effects of more frequent and intense storm conditions that compromise and stretch our operational ability to respond to widespread and prolonged emergencies both in the immediate response phase and recovery phase of a flood event, whilst also maintaining normal services. This will also include the risk of managing the public’s expectation as the Council cannot respond to all requests for help during storm conditions. Response is curtailed by the resources available and the priorities at the time.</p>	Director of Environment					
Control Measures		Review Date			Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190033/002	Management of the response to a storm event in accordance with our strategic emergency plans, protocols and command structures.				Significant	Significant	
					20	16 Substantial Likely	20 -4
Action Items							
• January 2022 update (Ainsley Williams, Daniel John and Ben Kathrens)		Jan-22					
No change to current risk rating.							
A corporate position on our response to incidents has been developed. The next stage will be to develop a priority schedule with an understanding of what critical infrastructure, highways and communities would be afforded operational resources and in what priority order. A budget has been identified to manage these risks each year and a review will be undertaken of the out of hours flood incident management response.							

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager Corporate Management Team

Risk Ref	Risk Title	Assigned To			Last Review date	Next Review Date	
CRR190063	Failure in Determination of Major Planning Applications (Failure to determine major planning applications within timescale is adversely impacting on our ability as an Authority to achieve our regeneration ambitions)	Head of Place & Sustainability					
Control Measures		Review Date			Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190063/001	A dedicated officer and support staff have commenced work on 'Major Projects' that support the county's				Significant	Significant	
CRR190063/002	Establish a Corporate Major Projects Group comprising council officers representing the range of services				20	16	
CRR190063/003	Protocol to be developed covering applications for major development projects					Substantial	
CRR190063/004	Consideration to be given to whether a Planning Performance Agreement (PPA) should be entered into with applicants					Likely	
Action Items							
<ul style="list-style-type: none">January 2022 –update Risk ownership to changed to Head of Place and Sustainability who started in January 2022. Relevant control measure ownership to changed to Head of Place and Sustainability. No change to current risk rating. Control measure updates CRR190063/001 – Wording to change to: “A dedicated officer and support staff have commenced work on 'Major Projects' that support the county’s Economic recovery plan outputs and aspirations” CRR190063/003 – Protocol has been drafted and has been agreed by CMT. As it’s a procedural document rather than policy it does not require further approvals. CRR190063/004 – Considerations is being given to the resource implications of implementing a Planning Performance Agreement (PPA) with applicants for major development projects. New Head of Place and Sustainability appointed and commenced in post January 2022 Planning committee receive quarterlyly performance report. Pre Cabinet monthly update repor.t		Jan-22					

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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190064	Failure to address Significant performance issues in development management are undermining effective service delivery. (Significant backlog of undetermined planning applications, significant caseload in planning enforcement, timeliness of validation process, and lack of performance monitoring.)	Head of Place & Sustainability		
Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190064/001	Planning Hwb to act as a single point of contact for Development Management and Enforcement queries.	Significant	Significant	
CRR190064/002	Develop, review and implement processes relating to the determination of planning applications.	20	16	
CRR190064/003	Develop, review and implement protocols and policies to ensure improved consistency		Substantial	
CRR190064/004	Develop a comprehensive suite of performance measures to ensure the Service can be held to account.		Likely	
CRR190064/005	Embed robust performance and case management within the Service			
CRR190064/006	Review Scheme of Delegation and Planning Protocol and seek approval at CRWG/Full Council.			
CRR190064/007	To focus on positive recruitment and retention practices to motivate and sustain the workforce			
CRR190064/008	Re-Design and develop a customer focused Planning section within the Corporate website.			
Action Items				
<ul style="list-style-type: none"> January 2022 –update (Noelwyn Daniel, Rhodri Griffiths, Ian Llewellyn and Hugh Towns) Risk ownership to changed to Head of Place and Sustainability who started in January 2022. Relevant control measure ownership to changed to Head of Place and Sustainability. <p>No change to current risk rating.</p> <p>Control measure updates CRR190064/002 and 003 – Revised processes are continuing to be developed and implemented in the determination of planning applications services. (e.g. progress on producing protocols for validation, consultation and publicity of applications).</p> <p>CRR190064/004 and 005 – Planning service and case management indicators are being prepared and quarterly performance reports are being prepared for consideration by divisional SMT.</p> <p>CRR190064/006 - Revised Scheme of Delegation and Planning Protocol was reported to CRWG on 5th January 2022 and will be reported to Full Council on 19th January for final approval. CRR190064/007 – A new Head of Place and Sustainability commenced at the start of January 2022. Key posts have been filled temporarily and the section will go through a full workforce planning review in the coming months. CRR190064/008 – Development work is continuing on the Corporate website in conjunction with the web development team.</p>	Jan-22			

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190016	Delivery of the Authority's Waste Management and Recycling Strategy to ensure that we meet our statutory recycling targets and wider obligations including improvements to the quality of recyclable materials to support circular economy principles and reduce carbon outputs in accordance with Welsh Governments Beyond Recycling national strategy	Head of Waste & Environmental Services		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190016/001 Maintain current provision and infrastructure for recycling		Significant	Significant	
CRR190016/002 Continue education and awareness activity to improve participation		20	16 Substantial Likely	
Action Items				
<ul style="list-style-type: none">January 2022 update (Ainsley Williams and Daniel John) <p>No change to current risk rating.</p> <p>The current statutory target for 2021/22 is 64%, with the next specific statutory target being 70% by 24/25. The measures introduced since April 2019 have meant that the Council has exceeded the 64% statutory target thus far, but the effects of the CWM MRF fire could prove to be a setback in performance terms. Following the fire at Nantycaws and the necessity in sourcing alternative recycling treatment suppliers there is an increasing likelihood of target failure this year. The Welsh Government have been made aware of our current performance and we are engaged with them on this matter. The adoption of the future waste strategy will be a long-term mitigation of this risk and the WG are supportive of this direction of travel. We have also reintroduced our kerbside restriction policy and recycling contamination process to support with the education and enforcement of contraventions to our service policies. This action should improve our performance.</p>	Jan-22			

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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190019	Failure to ensure that schools effectively manage their resources and respond to the challenges of reduced funding	Director of Education & Children Services		

Control Measures		Review Date			Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190019/001	Lead the TIC Schools project, working with colleagues and schools to identify significant savings as set by the County Council				Significant	Significant	
					16	16 Substantial Likely	
Action Items							
<ul style="list-style-type: none">The impact of failing to ensure that schools effectively manage their resources and respond to the challenges of reduced funding remains substantial. Circumstances have not changed since the last review and therefore the probability remains likely. Analysis of future growth requirements for the delegated budget to schools has been completed. Levels of risk continue to be monitored via detailed focus on individual school budget performance. Analyses are ongoing throughout the financial year. Progress updates and ensuing actions are monitored closely by a range of officers / groups, including the Schools Budget Forum, Educations Services Forum, DMT, ECS Scrutiny. The Federation agenda analyses and seeks to improve the viability of smaller schools. The Change Review Panel challenges schools in deficit on budget and business management. Business Management within schools is currently being evaluated."		Jan-22					

Risk Ref	Risk Title	Assigned To			Last Review date	Next Review Date		
CRR190058	SAC Phosphate & NRW Interim Planning Advice	Director of Environment/Head of Place and Sustainability						
Control Measures				Review Date		Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190058/001	Identify and triage "major" applications and those related to the Council's Covid Recovery Strategy					Significant	Significant	
CRR190058/002	Lobby and work with WG/NRW to get clarity around the scope of the requirements					20	16	20
CRR190058/003	Stakeholder Engagement -						Substantial	-4
CRR190058/004	Developer and Applicant Guidance -						Likely	
CRR190058/005	Develop a Catchment based Phosphate Calculator -							
CRR190058/006	Specialist Legal and Ecological Support -							
CRR190058/007	Provide a dedicated and continually refreshed webpage to set out the latest information and any updated guidance.							
CRR190058/008	Collaborate across sectors on developing an understanding of the issues and in establishing solution based approaches.							
Action Items								
<ul style="list-style-type: none">January 2022 –update (Noelwyn Daniel, Rhodri Griffiths, Ian Llewellyn and Hugh Towns) Risk ownership to changed to Head of Place and Sustainability who started in January 2022. Relevant control measure ownership to changed to Head of Place and Sustainability. <p>No change to current risk rating.</p> <p>Control measure updates</p> <p>CRR190058/001 – “Major” applications are being triaged on an on-going basis as applications are received.</p> <p>CRR190058/002 – The Division is working with NRW to develop new guidance in this area and the Forward Planning Manager chairs a national group.</p> <p>CRR190058/003 - The first stakeholder event was held in October 2021 to start to set up a Stakeholders’ forum.</p> <p>CRR190058/004 - The guidance pack has been developed and implemented, which is seen an exemplar to roll out across Wales.</p> <p>CRR190058/005 – Work on the catchment-based Phosphate Calculator is reaching a conclusion and will be implemented by the end of February 2022.</p> <p>CRR190058/007 - Development work is continuing on the Corporate website in conjunction with the web development team.</p>				Jan-22				

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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date			
CRR190034	Cyber Risk such as: - Ransomware or malware infection - Denial of Service Attack (DOS) - Unauthorised network access (hacking) - External and Internal - Phishing Email Attack - staff approach - Increased risk of cyber crime due to phishing and malware attacks exploiting Covid-19	Head of ICT & Policy					
Control Measures		Review Date			Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190034/001	Cyber incident response plan				Significant	High	
CRR190034/002	Staff awareness training				20	15	
CRR190034/003	Firewalls					Catastrophic	
CRR190034/004	Application control on servers					Possible	
CRR190034/005	Security updates continuously rolled out						
Action Items							
• January 2022 - Anti-ransomware solution has been deployed to detect and stop encryption of files during a ransomware attack. Phase 2 of our phishing campaign is due to start in February to raise awareness of phishing attacks which can lead to more intrusive malicious activity. Our Cyber stocktake and CIRP Report has been taken to CMT on 25th November and approved.		Jan-22					

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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date			
CRR190050	Covid19 - Strategic Risk of contractor and suppliers failing to deliver projects/schemes, because of macro-economic conditions and disruption to international logistics. - contractors resources depleted - contract failure - cost increases - sourcing materials	Director of Environment					
Control Measures		Review Date			Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190050/001	Review pipeline of projects with clients to align project delivery and budget with supply side capacity and market conditions.				Significant	High	
CRR190050/002	Project delivery aligned to changes in Covid risk with contractors managing health and safety risk in accordance with				20	15	
CRR190050/003	Undertake regular financial checks on suppliers.					Catastrophic	
						Possible	
Action Items							
• January 2022 - Formal Process of authorisation has been followed to variation of contract terms where necessary. We have also modified contracts through extensions where the market place is volatile to allow it to hopefully stabilise before we go out to tender in some areas. If unable to manage capital schemes within the escalating costs, the capital programme would need to be critically reviewed to identify what uncommitted projects could be deferred / removed.		Jan-22					

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<p>• January 2022 –update (Director of Environment and Stephen Pilliner)</p> <p>Proposed that the risk description be modified to reflect and include "because of macro-economic conditions and disruption to international logistics".</p> <p>No change to current risk rating.</p> <p>Control measure updates Proposed that control measures wording to be amended to :</p> <ul style="list-style-type: none"> • Review pipeline of projects with clients to align project delivery and budget with supply side capacity and market conditions. • Project delivery aligned to changes in Covid risk with contractors managing health and safety risk in accordance with risk assessments safe systems of work and Wales Govt. Guidance. • Undertake regular financial checks on suppliers. <p>Supporting information included below :</p> <p>The material price index for 'All Work' increased by 24.5% in October 2021 compared to October 2020and by 1.0% compared to September 2021. (Source : ONS Monthly statistics – Building materials and components)</p>	Jan-22				
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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date			
CRR190038	Covid19 - Strategic Increase in levels of anxiety which is directly affecting mental health. Health and wellbeing of staff and the public	Assistant Chief Executive					
Control Measures		Review Date			Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190038/001	Provision of support from Occupational Health				Significant 25	High 15 Catastrophic Possible	
Action Items							
• January 2022 – IN TERMS OF OUR OWN STAFF we look to our own Managers to provide staff with wellbeing support. We also hold dedicated events, provide guidance, advice, training and support for Managers to manage mental health in the workplace as well as general wellbeing support. We have a raft intervention available e.g. Wellbeing events held, Mental Health First Aid, Managing Mental Health. Corporately we are not picking up trends in terms of covid related anxiety, however the wellbeing of our staff remains a high priority and mental health continues to be one of the key reasons for absence. With the relaxation of restrictions which will see more staff returning to the workplace we could see some of our staff experiencing anxiety. Increase in (non-covid) absence figures seen in Q3 – which does have an impact on the staff to deliver the services. In work poverty is a noted area of concern and concerns around. Increase in OH referrals and GP referrals having an impact on this as well		Jan-22					

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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190025	Schools do not undertake routine property repair and maintenance using delegated funding or undertake work that is not compliant	Head of Access to Education		

Control Measures		Review Date			Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190025/001	Building condition surveys and reports to be reinstated				Significant	High	
CRR190025/002	Risk Management bid to be considered to fund urgent building condition surveys				25	15 Catastrophic Possible	
Action Items							
• January 2022 – Property Maintenance Manager update No change to current risk rating.		Jan-22					
CRR190025/001 – Recruitment is continuing to recruit building surveyors via People Management. Following recruitment, building surveys will be undertaken for all Council buildings, including schools. Property is evaluating a data capture and reporting system for building surveys which should be procured in the next couple of months.							



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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190027	Fraud & Corruption The cost of fraud to the Welsh Public Sector is estimated to be in the region of between £100million and £1billion annually (as reported by the WAO)	Head of Revenues & Financial Compliance/Director of Corporate Services		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190027/001 Anti-Fraud & Anti-Corruption Strategy		Significant	High	
CRR190027/002 Whistleblowing Policy		20	15	
CRR190027/003 Financial Procedure Rules			Catastrophic	
CRR190027/004 Code of Conduct - Members & Officers			Possible	
CRR190027/005 Participation in the National Fraud Initiative Exercise				
CRR190027/006 Dedicated Fraud Investigation Officer dealing with Revenue & Benefit Frauds				
CRR190027/007 Counter Fraud proficiency within the Internal Audit Team				
CRR190027/008 Effective relations with Dyfed Powys Police				
Action Items				
<ul style="list-style-type: none">January 2022 - Fraud Risk Register being continuously monitored and fraud testing in incorporated into internal audit reviews. MOU between Carmarthenshire and Dyfed Powys Police has been reviewed and checked to be still appropriateUpdated Financial Procedure Rules will be presented to Audit Committee by mid 2022 to ensure that they are still fit for purpose. Any amendments will be brought to the Governance & Audit CommitteeFraud e-learning being developedRaising awareness process being developed and work is ongoing with Communication team.The Whistle-blowing policy has been slightly amended and has been adopted by Standards Committee. A Whistle-blowing update briefing is scheduled on the 8th February 2022 to all Senior Officers.	Jan-22			

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Risk Ref	Risk Title	Assigned To			Last Review date	Next Review Date	
CRR190043	Covid19 - Strategic Financial Implications - loss of income Financial implications - increased costs due to Covid-19 demands and compliance with Cabinet and Welsh Government instructions	Director of Corporate Services/Head of Financial Services/Head of Revenues & Financial Compliance					
Control Measures		Review Date			Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190043/001	Recovery of Council Tax & NNDR whilst being sensitive to the current situation				Significant	High	
CRR190043/002	Recovery of Housing Rent				25	15 Catastrophic Possible	
Action Items							
• January 2022 - Council Tax collection remains stable however, commercial income loss continues to be a considerable risk going forward due to the impact of Covid-19. We have set aside £1 million in next years budget for mitigating loss. Currently financial implications are covered by the hardship grant. Control Measure - CRR190043/003 Exceptional procurement purchases due to Covid-19 must be signed off by Section 151 Officer is no longer applicable as emergency powers have been suspended so this control measure has been withdrawn.		Jan-22					



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Risk Ref	Risk Title	Assigned To			Last Review date	Next Review Date	
CRR190051	Covid19 - Strategic Failure to recover from the COVID19 impact and non delivery of departmental objectives	Chair Silver Recovery					
Control Measures		Review Date			Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190051/001	Silver Recovery Group				Significant	High	
	Performance Management Framework quarterly reporting & monitoring to CMT				16	12 Substantial Possible	
Action Items							
• January 2022 - Business planning process for 2022/23 nearing completion. Engagement and Assurance sessions held with each DMT to support self-assessment of performance and embedding of corporate priorities including pandemic legacy. Performance Management Framework agreed and a new, cross-cutting quarterly performance monitoring process also introduced in November 2021 which embeds service, financial and risk management elements.		Jan-22					
Silver Recovery - Aims & Objectives (post 22/12/2021):							
	➤ Ensure the wellbeing and safety of staff and the public						
	➤ Restore and better community resilience						
	➤ Rebuild and restore economic and public confidence						
	➤ Manage and react to Covid transmission rate changes						
	➤ Review and adapt the delivery of services to ensure prompt response to changes in new regulations and lockdowns.						
	➤ Ensure Risk Assessments and Safe Working Practices are in place and updated to support any changes to the delivery of local authority services						
	➤ Provide clear, timely information to members of the public and staff						
	➤ Supporting stakeholders and partners						
	➤ Ensure clear governance around decision making						
	➤ Connect between Gold Command and front line services						
	➤ To ensure financial resilience of the Authority						
	➤ Maximise the resilience of key staff groups in essential services						
	➤ Review and recommend movement of resources to meet demand						

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Risk Ref	Risk Title	Assigned To			Last Review date	Next Review Date	
CRR190060	Critical Authority wide IT systems	Head of ICT & Policy					
Control Measures		Review Date			Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190060/001	Main server and backup server at different sites				Significant	High	
CRR190060/002	Microsoft database SQL expertise in IT department				20	12 Substantial Possible	15 -3 
Action Items							
<ul style="list-style-type: none">January 2022 - New data centre and SQL cluster has been created within Ammanford with high availability and redundancy between our two data centres. In the event of any failure/disruption at either of our Carmarthen or Ammanford Data Centres, a large proportion of systems/network and applications will no longer be impacted and will continue to function. Risk still remains HIGH as if both data centres are impacted simultaneously (possible), that risk still remains for wide disruption. Further mitigation and driver as part of our wider digital transformation strategy of moving systems to supplier cloud will further mitigate and improve business continuity as well as on-going annual testing/planning by ICT Services of impact scenarios between our data centres to further minimise impact and optimise speed of recovery of systems in the event of any disruption.		Jan-22					

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190031	Failure to comply with the requirements of the Local Government and Elections (Wales) Act	Corporate Management Team		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190031/001 Public participation strategy being produced		High	High	
CRR190031/002 Petition scheme being developed		12	12	
CRR190031/005 Collaborative working with Principal councils - awaiting further guidance from WG			Substantial	
CRR190031/006 Corporate Joint Committees -			Possible	
CRR190031/007 Webcasting of meetings arrangements in place and work ongoing on developing the arrangements				
Action Items				
• January 2022 - Advert is currently out to recruit for lay members. Shortlisting and interview arrangements are confirmed.	Jan-22			
• January 2022 Petition scheme and democratic Public Participation Strategy drafted and will be discussed at Constitutional Review Working Group for recommendations to be made for Council for adoption. Webcasting arrangements compliant with legal requirements and equipment installed ready to move to hybrid meetings as and when coronavirus restrictions advise physical attendance at meetings appropriate. Adverts for further lay members for the Governance and Audit Committee to meet one thirds lay members composition currently out for applications, with closing date of 21st January. First meeting of the South West Wales CJC arranged for January 2022. Further Welsh Government consultation documents expected on various aspects of CJs.	Jan-22			

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[illegible]

<p>• January 2022 - A Joint committee has been formally established, with supporting governance and advisory boards. Each project within the city deal has its own local project board.</p> <p>A Joint Committee agreement has been implemented to support the four regional authorities in the discharge of their obligations to one another, the Welsh Government and the United Kingdom Government ("UK Government") and to promote and facilitate projects funded under the Swansea Bay City Deal in order to further the growth of the Swansea Bay City Region. The Councils have accordingly agreed to enter into this Agreement to document and regulate their respective rights and obligations to each other and to enable the Councils to work together to establish and to participate in a Joint Committee.</p> <p>A five year operational budget has been compiled and was approved by the Joint Committee on 9th July 2020.</p> <p>The SBCD implement evaluation and monitoring arrangements to support the delivery of the portfolio, these include a portfolio level risk register, supported by project level risk registers, integrated assurance action plan, quarterly monitoring updates and highlight report, quarterly financial monitoring update, forward works programme and COVID-19 impact risk assessments. All of the nine SBCD projects are now engaged in delivery and have been formally approved by both UK and Welsh Government.</p> <p>The SBCD portfolio is subjected to an independent external audit by Audit Wales, an unqualified opinion on the latest financial statements (2020/21) was issued. An internal Audit Review was conducted during January 2021 with a substantial level of assurance issued - 'There are no or few weaknesses in the adequacy and/or effectiveness of the governance, internal control, risk management and financial management arrangements, and they would either be unlikely to occur or their impact is not likely to affect the achievement of the SBCD objectives'. A further internal audit review has been approved commencing in January 2022.</p> <p>As part of the assurance arrangements for the SBCD Portfolio, an independent Gateway 0 Review was undertaken in July 2021. The Review was undertaken by an independent, external team in accordance with the Welsh Government Integrated Assurance Hub Guidelines. Seventeen 'conversations' were held with stakeholders between 19th-21st July together with a workshop session with the four local authority Leaders. The SBCD Portfolio received an Amber-Green Delivery Confidence Assessment (DCA) rating.</p> <p>Specific portfolio risks recorded and reviewed in the SBCD Risk Register including legal, operational and financial risks. The risk register is updated quarterly and reported to governance boards and committees with appropriate mitigation or control actions.</p> <p>SBCD manage the grant award inline with the funding conditions set out by Governments and inline with discernment conditions outlined within the SBCD Joint Committee agreement, programme and project funding agreements and Carmarthenshire County Council's financial regulations and appropriate adopted financial strategies.</p>	Jan-22				
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Risk Ref	Risk Title	Assigned To				Last Review date	Next Review Date	
CRR190023	The post Brexit Settlement	Economic Development Manager						
Control Measures		Review Date				Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190023/005	Decrease in external funding due to new SPF regimes					Significant	High	
CRR190023/001	Officer/Member Working Group with representations from all council services					16	12	
CRR190023/002	Review all services/plan contingencies						Substantial	
CRR190023/003	Follow advice from Welsh Government and WLGA						Possible	
CRR190023/004	Communications with residents and businesses							
Action Items								
• January 2022 – The UK Government announced in November 2021 that the Authority had been successful in 11 out of 12 CRF bids, totalling £2.97m. Also the UK Government announced that both Levelling Up bids were successful. The risk levels remain the same however as we have to deliver both CRF and Levelling Up projects within a tight timeframe.		Jan-22						
Brexit Member / Officer group meets within two weeks of the WLGA Transition Co-ordinators group meetings. Regular reporting to CMT. The Brexit Risk Register is currently being reviewed by the Brexit Officer/Member Group.								
Continuing to work closely with the WLGA on BREXIT. CCC website updated regularly with information from Welsh Government.								



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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date			
CRR190005	Ensuring effective management of Grant Funding (including accessing Grant Funding) Threat of having to repay significant Grant monies. Failure to manage grants and maximise on the funding resources available Failure to secure funding Failure to deliver current projects within the set timescales Failure to deliver outputs in line with the T&Cs of grant paying department	Director of Corporate Services					
Control Measures		Review Date			Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190005/005	Recovery Group reviewing financial position				Significant	High	
CRR190005/006	Reprioritisation of funding to best address the current liabilities				16	12	16 
CRR190005/007	Reprioritisation of capital programme					Substantial	-4
CRR190005/001	Project Management Training					Possible	
CRR190005/002	Grant Funding Bodies Guidance Briefings and Training						
CRR190005/003	Grants Panel						
CRR190005/004	Grants Manual / CPRs / FPRs						
Action Items		Target Date					
• January 2022 - Secured substantial funding from UK Government, it will be imperative we ensure there are robust processes in place to comply with the terms and conditions.		Jan-22					



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Risk Ref	Risk Title	Assigned To				Last Review date	Next Review Date	
CRR190015	Delivery of the Approved Capital Programme (Outcomes / Budget)	Director of Corporate Services						
Control Measures		Review Date				Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190015/001	Strategic Asset Steering Group					Significant	High	
CRR190015/002	Project Management Tool Kit					16	12	
CRR190015/003	Project Management Training						Substantial	
CRR190015/004	Long term Treasury management / loan funding						Possible	
Action Items								
• January 2022 - There has been one particular project that has been a burden and we have re-prioritised the capital budget.		Jan-22						



Risk Ref	Risk Title	Assigned To			Last Review date	Next Review Date	
CRR190057	Maintain and develop an effective Local Development Plan	Head of Place & Sustainability					
Control Measures		Review Date			Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190057/001	Development of an effective Local Development Plan (LDP)				High	High	
CRR190057/002	Adopted LDP in place with no defined end date – continued monitoring through Annual Monitoring Reports to assess effective				12	12	
CRR190057/003	Develop policy interventions to ensure the effective implementation of the adopted LDP including use of LDO's etc enabling					Substantial	
CRR190057/004	To continue the preparation of the Revised LDP reflecting of the Councils corporate and strategic objectives whilst having					Possible	
CRR190057/005	Put in place a revised Delivery Agreement and timetable by April 2022 for the preparation of the Revised LDP with WG agreement.						
CRR190057/006	To participate and collaborate regionally on the preparation of the Strategic Development Plan for South-West Wales.						
Action Items							
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<ul style="list-style-type: none"> January 2022 –update (Noelwyn Daniel, Rhodri Griffiths, Ian Llewellyn and Hugh Towns) Risk ownership changed to Head of Place and Sustainability who started in January 2022. Relevant control measure ownership to changed to Head of Place and Sustainability. <p>Wording of Risk title changed from “Maintain and develop effective Planning Policies” to “Maintain and develop an effective Local Development Plan”</p> <p>No change to current risk rating.</p> <p>Control measure update CRR190057/001 – Wording of Control measure to change to “Development of an effective Local Development Plan”</p> <p>Additional new control measure proposed CRR190057/002 - Adopted LDP in place with no defined end date – continued monitoring through Annual Monitoring Reports to assess effective implementation. CRR190057/003 - Develop policy interventions to ensure the effective implementation of the adopted LDP including use of LDO's etc enabling policy approaches to be agile and adaptable to changes in context and strategic objectives. CRR190057/004 - To continue the preparation of the Revised LDP reflecting of the Councils corporate and strategic objectives whilst having appropriate regard to national policy and legislation. CRR190057/005 - Put in place a revised Delivery Agreement and timetable by April 2022 for the preparation of the Revised LDP with WG agreement. CRR190057/006 - To participate and collaborate regionally on the preparation of the Strategic Development Plan for South-West Wales.</p>	Jan-22						
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Risk Ref	Risk Title	Assigned To			Last Review date	Next Review Date	
CRR190065	Failure to determine or secure Extension of Time (EOT) for Planning applications which are outside the determination date.)Current risk in relation to the repayment of the planning fee applicants where a planning application is over time (not been determined within the determination date) or has not been subject to an agreed EOT. As at 3/9/21 - 402 planning applications and fees of £593,000 at risk of repayment.)	Head of Place & Sustainability					
Control Measures		Review Date			Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190065/001	Develop, review and implement processes relating to the timely determination of planning applications.				High	High	
CRR190065/002	Develop, review and implement protocols and polices to ensure improved consistency and approach in determining planning				15	12	
CRR190065/003	Standardise and ensure consistent use of EOT letters (where there may be delays in the timely determination of planning					Substantial Possible	
Action Items							
• January 2022 –update (Noelwyn Daniel, Rhodri Griffiths, Ian Llewellyn and Hugh Towns) Risk ownership changed to Head of Place and Sustainability who started in January 2022. Relevant control measure ownership changed to Head of Place and Sustainability. No change to current risk rating. Mitigation actions continue to improve determination times and ensure consistent use of Extension of Time (EOT) for Planning applications. Significant improvements have been made since the Wales Audit review, with a reduction in outstanding planning applications from 402 in September 2021 to 296 in January 2022, (fees risk of repayment reduced from £756, 000 to £456,000.)		Jan-22					



Risk Ref	Risk Title	Assigned To			Last Review date	Next Review Date	
CRR190026	Ash die back and the risk to public safety	Head of Place & Sustainability					
Control Measures		Review Date			Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190026/001	The Council's Tree Safety Officer carries out regular tree safety inspections of all trees on CCC properties where required.				Significant	High	
CRR190026/002	Officers delivering approved strategy for managing risk to highways posed by diseased ash trees				20	12	16
CRR190026/003	Highways inspectors complete annual surveys of the extent of ash dieback adjacent to highway network, and safe routes to schools					Substantial	-4
CRR190026/004	Chainsaw training for Council operatives specific to Ash die back					Possible	
CRR190026/005	CCC's Ash Dieback project to work with landowners of affected trees adjacent to the highway network to ensure these trees are						
Action Items							
<ul style="list-style-type: none">January 2022 –update (Rhodri Griffiths, Rosie Carmichael and Jason Winter) Risk ownership changed to Head of Place and Sustainability who started in January 2022. Relevant control measure ownership to changed to Head of Place and Sustainability. <p>No change to current risk rating.</p> <p>Control measure review and updates from Jason Winter and Rosie Carmichael. Wording changed to control measures to reflect progress made.</p> <p>Proposed additional control measure (CRR190026/05) for inclusion – “CCC’s Ash Dieback project is working with landowners of affected trees adjacent to the highway network to ensure these trees are removed.”</p> <p>Update comments on progress</p> <ul style="list-style-type: none">November 2021 Temporary post of Ash Dieback Officer was replaced with a permanent Tree Safety Officer post (TSO).Ash Dieback winter work programme progressing with circa 300 ash trees identified on CCC owned land, in 19 locations, adjacent to the highway being removed by contractors using the Direct Purchasing System (January – March 2022).Tree safety work identified in seven CCC schools (Ash and other trees) and will be completed by end of January 2022.TSO is liaising with private landowners to raise awareness of Ash Dieback disease and ensure the removal of affected trees that are close to the highway. Based on summer 2021 highway surveys (the second survey), initial letters advising landowners of trees that pose potential risks will be sent out by the end of April.		Jan-22					

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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date			
CRR190018	Failure to deliver a quality Education Service	Director of Education & Children Services					
Control Measures		Review Date			Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190018/003	Raise standards at each key stage				High	High	
CRR190018/004	Support schools to develop and deliver new curriculum				12	12	8 
CRR190018/005	Support schools to implement ALN reform					Substantial	4
CRR190018/007	Provide appropriate support for vulnerable learners - ALN, LAC, EAL, Travellers, e-FSM					Possible	
CRR190018/008	Manage the 21st Century School Programme and reduce the number of surplus places with the schools system						
Action Items							
<ul style="list-style-type: none">The Impact of failing to deliver a quality Education Service remains High and due to issues, detailed below, with Budget and the new Regional Consortium the probability score has been raised to Possible. The majority of projects within the Band A Programme have been completed. We have recently completed projects at Ysgol Rhys Prichard and Ysgol Llangadog with on site progress at Ysgol Gorslas. Schemes are being progressed for the remaining three projects. With regards to Band B; we have completed the project at Ysgol Pum Heol and on site work is continuing at Ysgol Y Castell. The scheme for Ysgol Pembrey has been approved by Welsh Government and we are due to start on site in January 2022. Clear identification of vulnerable pupils and monitoring of their progress continues through the effort of ALN, Inclusion and Education Support Advisors work with schools. A new collegiate approach to school improvement ensures a collaborative and streamlined approach to discussions around these pupils. The Vulnerable Learners' Group continues to be active and has been modifying its approach to streamline the strategic overview whilst also looking to ensure that individual casework continues as efficiently as possible. Some important appointments have been made recently to bolster our support for vulnerable learners. We continue to ensure the Council fully responds and complies with the requirements of the Additional Learning Needs transformation programme which aims to transform expectations, experiences and outcomes for children and young people by developing a unified system for supporting learners with additional needs from 0 to 25 years of age. Inclusion Officers continue to support the 10 priorities outlined in the Regional Additional Learning Needs (ALN) Transformation Plan and are involved in delivering outcomes in each priority delivery schedule. A Carmarthenshire Implementation plan and work schedule is in place, is being progressed and is reviewed by the ALN Transformation steering group. We still await Welsh Governments (WG) Implementation Plan and definitive guidance is required from WG on funding around ALN. However, officers are worried that a lack of funding for ALN will negate the work done to implement the ALN Reform Bill. Exec Board Member for ECS has requested that any monies left over from the new settlement should be given to ALN as a priority.We continue to work towards raising standards at each Key Stage. However due to schools being closed for periods due to COVID, Teacher Assessments and final GCSE and A level exams for 2020-21 were cancelled. GCSE and A level grades were determined by a range of evidence such as classwork, homework, mock exams and non exam assessments. Therefore, we can't compare to previous years. We continue to support and challenge schools to further improve outcomes for all pupils at the end of every stage with a particular emphasis on raising achievement for pupils entitled to free school meals and vulnerable pupils. We continue to support, challenge and improve the quality of leadership and its impact on improving provision and outcomes in collaboration with senior school leaders. Discussions have been held with our newly constituted Region, Partneriaeth, to ensure synergies in approach to school support for curriculum design. However as it is taking time to set up the new Regional Consortium and a delay in appointing senior officers. This is causing concern.		Jan-22					

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Manager Corporate Management Team

Risk Ref	Risk Title	Assigned To			Last Review date	Next Review Date	
CRR190029	Net Zero Carbon Failure to deliver the Council's commitment to become a net zero carbon local authority by 2030	Director of Environment/Head of Place and Sustainability					
Control Measures		Review Date			Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190029/001	The Council has adopted a realistic, pragmatic and achievable approach in its Net Zero Carbon Plan.				Significant	High	
					20	12 Substantial Possible	8 4
Action Items							
• January 2022 –update (Rhodri Griffiths and Kendal Davies) Risk ownership changed to Head of Place and Sustainability who started in January 2022. Relevant control measure ownership changed to Head of Place and Sustainability. No change to current risk rating. Control measure updates Intra-authority steering group convened in December to coordinate activities. Departmental extraction of data currently underway with a deadline of week beginning 17 January Development of annual progress update ahead of March 2023.		Jan-22					



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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190040	Covid19 - Strategic Availability of Personal Protective Equipment (PPE)	Director of Communities		
Control Measures				
		Review Date		Uncontrolled Risk Rating
				Current Risk Rating
				Previous Rating
CRR190040/001	Procurement arrangements in place for PPE			Significant
CRR190040/002	Central controlled stock arrangements in place			25
CRR190040/003	Stock management is robust to ensure correct level of supply and use			10
				Catastrophic
				Unlikely
Action Items				
• The PPE supply has stabilised over the last 6 months, and reserve stock has been built up allowing more certainty if supply lines were to be affected. Good controls in place for tracking, issuing of stock via a single PPE store for Social Care. This now includes reserve stock of Lateral Flow tests.		Jan-22		

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
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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date			
CRR190009	Deliver Effective Safeguarding Arrangements - Children (Detail in separate Safeguarding Risk Register)	Head of Children Services					
Control Measures		Review Date			Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190009/002	Develop implement and regularly monitor effective safeguarding policies and procedures for Children's Services				Significant	High	
CRR190009/003	To have a sound procedure for professional abuse allegations effectively promptly and correctly				25	10	
CRR190009/004	To respond appropriately to Regulators reports and recommendations					Catastrophic	
CRR190009/005	To proactively monitor adequate procedures are being effectively operated by third party providers					Unlikely	
CRR190009/006	Ensure sexual exploitation Risk Assessments (SERAFs) and Missing Persons Risk Assessments are completed as required						
CRR190009/010	New arrangements implemented for our leaving care services in accordance with the Social and Well-being Act 2014						
Action Items							
<ul style="list-style-type: none">The impact of failing to deliver effective safeguarding remains catastrophic. Circumstances have not changed since the last review and therefore the probability remains unlikely. The Corporate Parenting Panel met virtually on 23rd November 21, to monitor and scrutinise the care and support that the Local Authority provides to our Looked After Children and Care Leavers. In addition, Looked after children and care leavers have continued to be supported via the childcare teams and corporate parenting service to ensure they are safeguarded and enabled to reach their potential. Regular MALAC (Multi-Agency Care Management meetings) and CYSUR Audit and Evaluation Meetings have continued to take place virtually to ensure the council fulfils its corporate parenting role and progress is monitored as part of the Corporate Parenting Strategy. Service Managers continue to carry out monthly audits and assessments, plans and reviews. Internal inspection is carried out within the Internal Audit and Evaluation sub-group of the Safeguarding Board. We continue to ensure the regional threshold and multi-agency child protection arrangements are working effectively. Most recently a Section 47 Development Day was held facilitated by Gladys White. The aim of the day was to provide an opportunity to consider the Welsh Government Legislation and Guidance, the relevant parts of the Children Act 1989 and the Regional CYSUR policies and procedures in relation to Section 47 processes. All regulatory reports and recommendations are included in business planning and monitored quarterly. We continue to ensure that appropriate Safeguarding measures are included in all Third Party contracts. Sexual Exploitation Risk Assessments (SERAFs) are regularly monitored via the Childrens Safeguarding Audit and Evaluation Group and the Multi Agency Operational Group. This was also informed by the Section 47 Development Day, which gave an opportunity for participants to consider best practice, understand the importance of effective risk assessments and to apply local knowledge and practice in discussing and debating several 'real' case examples. We have introduced a Multi-Agency Child Exploitation Audit, chaired by the Child Protection Coordinator.		Jan-22					

<div><ul style="list-style-type: none">The Corporate Parenting Panel met virtually on 23rd November 21, to monitor and scrutinise the care and support that the Local Authority provides to our Looked After Children and Care Leavers. In addition, Looked after children and care leavers have continued to be supported via the childcare teams and corporate parenting service to ensure they are safeguarded and enabled to reach their potential. Regular MALAC (Multi-Agency Care Management meetings) and CYSUR Audit and Evaluation Meetings have continued to take place virtually to ensure the council fulfils its corporate parenting role and progress is monitored as part of the Corporate Parenting Strategy. Service Managers continue to carry out monthly audits and assessments, plans and reviews. Internal inspection is carried out within the Internal Audit and Evaluation sub-group of the Safeguarding Board. We continue to ensure the regional threshold and multi-agency child protection arrangements are working effectively. Most recently a Section 47 Development Day was held facilitated by Gladys White. The aim of the day was to provide an opportunity to consider the Welsh Government Legislation and Guidance, the relevant parts of the Children Act 1989 and the Regional CYSUR policies and procedures in relation to Section 47 processes. All regulatory reports and recommendations are included in business planning and monitored quarterly. We continue to ensure that appropriate Safeguarding measures are included in all Third Party contracts. Sexual Exploitation Risk Assessments (SERAFs) are regularly monitored via the Childrens Safeguarding Audit and Evaluation Group and the Multi Agency Operational Group. This was also informed by the Section 47 Development Day, which gave an opportunity for participants to consider best practice, understand the importance of effective risk assessments and to apply local knowledge and practice in discussing and debating several 'real' case examples. We have introduced a Multi-Agency Child Exploitation Audit, chaired by the Child Protection Coordinator.</div>	Jan-22					
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Corporate Management Team

Control Measures		Review Date			Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190017/001	Establish effective systems to ensure thresholds for access and eligibility criteria are understood				High	Medium	16  -7
CRR190017/003	Collaborate with partners to deliver information, advice, assistance and preventive services				12	9	
CRR190017/005	Work with partners, local community action groups and local people to build resilient communities					Significant	
CRR190017/006	Promote and develop social enterprises and cooperatives to provide preventative services, care and support					Possible	
CRR190017/007	We will monitor and report on Social Worker Vacancies and Caseloads quarterly						
CRR190017/008	To introduce a range of initiatives to manage and/or reduce demand						
CRR190017/009	To commission an effective, efficient and economical model for the provision of domiciliary care						
CRR190017/010	To focus on positive recruitment and retention practices to motivate and sustain the workforce						
Action Items							

- Adults: From an Adults perspective, we continue to see a high level of new and complex referrals. Approximately 25% of new enquiries for older people and physical disabilities are now being closed at information and advice, and do not require a referral for assessment which is a very positive step forward. However, the volume and complexity still requiring full assessment has increased and the ongoing pressures on social work capacity mean we are having to risk assess those waiting for assessment to ensure we prioritise those with greatest need.

The Delta Connect programme continues to support vulnerable residents in Carmarthenshire by offering regularly proactive calls as well as a rapid response service which allows people to have the confidence to remain independent at home for longer with the safety net of being able to easily access additional support if needed.

We have introduced a range of initiatives to manage demand including an enhanced pathway for early presentation of mental health concerns. This was provided in collaboration with health and third sector colleagues and this initiative is being built upon to progress a Single Point of Access for mental health services. Going forward we are focussing on prevention as a strategic priority to assist with managing the increased demand for services.

Education & Children's Services - In order to maximise the benefits of weekly pod discussions in terms of support for staff and sharing thoughts and knowledge about cases, wherever possible pod discussions are taking place face to face again instead of remotely. This peer support is greatly valued by staff and helps reduce their feelings of isolation when working from home for much of the time. To embed our relationship based approach to social work, in future the mandatory sessions for social workers in their first year of practice will include input on systemic practice. This means that in their 1st year of practice social workers from both children's and adult services will have opportunities to develop their knowledge and skills in respect of systemic practice. Sickness absence, Covid and staffing issues as well as an increase in referrals have been additional challenges this quarter. Gold Command meetings are held twice a week to address the staff shortages in the Social Care Sector. Children's Social Worker caseloads and vacancies are monitored on a regular basis at service management level. As at this time we are struggling to recruit social workers and have had to recruit agency staff in the main childcare teams, three in post in December and another due to commence in January. There are two current vacancies in Carmarthen Childcare Team, one in Llanelli Assessment team and interviews have been arranged during January. There is evidence in the sample of assessments that are audited monthly of the child's voice being clearly reflected. Social workers are using a variety of tools such as 3 houses to enable children to provide a picture of what life is like for them in their family/home. There is also evidence of collaborative work with children, parents and extended family to develop care and support and safety plans that ensure a child's needs are met appropriately. An increase in referrals together with staffing issues were additional challenges for the assessment team over the last year. The Family Information Service have ensured families and professionals have been kept up to date with services, information, resources, and developments. FIS provided an overview of their service during sessions to Early Years Support Staff and Flying Start Childcare Workers Induction programme; these are for new members of staff and those wanting an update on how the FIS can support them and their families. FIS continue to link in with different services to provide and share information to parents/carers to support them through a variety of different methods. Since October 2021 the FIS website had 10,335 users, 14,284 sessions and 25,292 pageviews, there was a slight influx during this period when the Welsh Government Parents Survey opened. The FIS Facebook, twitter and YouTube channels are continuing to grow and develop, the number of followers and likes on the social media platforms has seen a significant increase. There have been 357 enquiries during the third quarter. FIS enquiry and training modules on Dewis continue to work well. The Dewis team have been improving the database and FIS continue to attend Dewis Development Days. FIS have been continuing to promote Dewis and provide support to internal and external partners with creating and updating their records and liaising closely with the Dewis team. FIS continue to work closely with the different teams within Children's Services to review, develop and update the FIS website. FIS continue to work very closely with the Corporate Communications Department on a weekly basis to ensure Children's Services section of the Council website and newsroom pages are up-to-date and accurate. Early Years Integration Transformation Programme - Work continues in partnership across the region on developing the Regional Maternity and Early Years Strategy and a plan is in place. The Cwm Gwendraeth Pilot Team - continue to deliver support to families within the area via a variety of groups and programmes. We

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continue to develop the Mid & West Wales (MWW) Regional Adoption as part of the National Adoption Service in line with national, regional and local priorities. We continue to work collaboratively across the region in accordance with the National Fostering Framework (NFF) and will also implement the new arrangements in respect of Special Guardianship Orders. Many community engagement activities have taken place in Tyisha during the Summer. These include Graffiti Workshops with Wallich and Foyer to engage young people living in temporary accommodation in Tyisha; Street Play via People Speak up; sensory garden development; and a Community 'Paint off' with residents in Clos Sant Paul and young people in Wallich. A community engagement team has been created, working with community officers in Tyisha to support and coordinate consultation activities and supporting Street play by helping interested residents talk to their neighbours about closing their roads. Key stakeholders have come together to work on the Mind Our Future lottery project, and the Children and Families workstream are developing a project plan with a set of key priorities for Tyisha.						

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Corporate Management Team

Control Measures		Review Date	Control Design	Control Compliance	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190014/001	Project Board is operational with suitable governance and representative membership				Significant	Medium	12  -4
CRR190014/002	Development of Zones 1-4 of Pentre Awel consisting of				16	8	
CRR190014/003	Financial Planning					Substantial Unlikely	
Action Items							

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<ul style="list-style-type: none"> January 2022 - Tender exercise undertaken via SWWRCF to procure a contractor to design and build Zone 1. 40% cost / 60% quality to promote community benefits. <ul style="list-style-type: none"> Bouygues UK appointed in October to deliver Zone 1 Bouygues UK and design team: Powell Dobson (Architects) Curtings (Civils, Structures, drainage, SAB) Hoare Lea (MEP, fire, acoustics) Pre – Construction Services Agreement signed and pre-construction Programme agreed Pre-Construction period underway A revised project governance structure has been developed to take the project into implementation. <p>Together these important milestones reduce the risks around the deliver-ability of Zone 1.</p> <ul style="list-style-type: none"> AHR Architects appointed to undertake the design development of Zone 3 RIBA Stages 1-3 design of 144 units of retirement accommodation Concept design (RIBA Stage 1+) of expansion business centre (up to 10,000m2) AHR Architects are leading a multi-disciplinary team comprising Coreus (PM & cost control), WPS (Civils & Structures, M&E, fire, acoustics) and RPS (Planning) Initial meetings on programme and brief held Draft programme: RIBA Stage 1 report – end January 2022 RIBA Stage 2 report – April 2022 RIBA Stage 3 report and submission of Reserve Matters – August 2022 <p>Significant progress is being made in the planning of health, research and education provision at Pentre Awel.</p> <ul style="list-style-type: none"> Draft Head of terms issued to: Hywel Dda University Health Board covering clinical delivery and clinical research . Education providers , UWSD and Swansea University covering both educations skills and twining and some elements of innovation Partnership with Cardiff University to deliver the innovation and business. <p>Following submission of Mol to financial markets, bids received from investors and are being assessed."</p> <ul style="list-style-type: none"> Bids are available Further conversations held with UK Investment Bank and Department for Internal Trade re investment opportunities. 	Jan-22				
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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date			
CRR190010	Deliver Effective Safeguarding Arrangements - Vulnerable Adults	Director of Communities					
Control Measures		Review Date			Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190010/001	Representation at the Regional Board				Significant	Medium	
CRR190010/002	Implementing effective safeguarding policies and procedures for vulnerable adults				16	8	
CRR190010/003	Monitoring the performance of safeguarding within adult services					Substantial	
CRR190010/004	Responding to regulators reviews and recommendations					Unlikely	
CRR190010/005	Monitoring of third party providers to ensure safeguarding procedures are being effectively operated						
CRR190010/006	Robust process for professional concerns and increase staffing resource to respond to increasing demands						
Action Items							
• Due to an increased demand over the last year we have an additional safeguarding officer in the Safeguarding Team. We have utilised grant funding to also increase staffing resource in the Dols team to address the backlog of referrals.		Jan-22					

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Carmarthenshire Corporate Risk Register

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Risk Ref	Risk Title	Assigned To			Last Review date	Next Review Date			
CRR190006	Ensuring effective People Management (including interpreting changes in HR legislation, capacity and compliance with Employment Law and Health & Safety Legislation)			Assistant Chief Executive					
Control Measures				Review Date		Uncontrolled Risk Rating	Current Risk Rating	Previous Rating	
CRR190006/001	Competence based recruitment, assessment centres for recruitment of key roles, induction training, coaching and mentoring,						Significant	Medium	
CRR190006/002	Development of Employment Policies and briefings and training, audit and monitoring						16	8 Substantial Unlikely	
Action Items									
• January 2022 – Comprehensive policy review work programme in place – remains medium risk due to staffing pressures in some areas of People Management.				Jan-22					

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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190022	Manage and Develop Cwm Environment & Llesiant Delta Wellbeing	Corporate Management Team		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190022/001 Governance arrangements incl management and Councillor representation on Boards		Significant	Medium	
CRR190022/002 Compliance with Companies Act and relevant legislation		16	8	12
CRR190022/003 Financial Planning Financial Reporting arrangements Audit programme			Substantial	-4
CRR190022/004 Training - arranged for Directors			Unlikely	
Action Items				
<ul style="list-style-type: none">Audit programme agreed with Lleisant Delta and work has commenced. Shareholder manage the financial risks through the CWM Environmental Ltd Shareholder Board, and the Llesiant Delta Wellbeing Governance Group meetings:<ul style="list-style-type: none">Approval of 3-year business plan which reflects trading outlook, investment, cashflow, and identified threats and opportunities for the company.Quarterly monitoring of financial performance, financial forecasts and performance indicators.Quarterly monitoring of Teckal complianceCompany articles contain Shareholder reserved matters (ranging from the adoption of or any material amendment to the Business Plan, borrowing of any sums of money or entering into any contracts not encompassed in the approved business plan) that require specific shareholder consent.	Jan-22			

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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190007	Ensuring effective management of Procurement / Contract Management and Partnership arrangements	Head of Revenues & Financial Compliance		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190007/002	Participation in the WLGA Heads of Procurement Forum	Significant	Medium	
CRR190007/003	New Procurement Strategy developed and approved in April 2018	16	8	
CRR190007/005	TIC Expenditure Stream		Substantial	
CRR190007/006	Economic Recovery Plan / Progressive procurement approach -		Unlikely	
Action Items				
<div>• January 2022 - Contract management action plan of proposed improvements delivered to TIC Board and CMT. Contract Management Toolkit has been developed and an e learning Suppliers guide to procurement has gone live on the internet. Monitoring of spend included on the TIC Expenditure Agenda CLES review into progressive procurement has been approved by CMT, P&R and Exec Board. Working group established to deliver the actions. Work has started through the progressive procurement group to address the action plan drawn up in response to the CLES review</div> <div>Regeneration and Procurement have identified pilot areas for joint working to encourage local suppliers to bid for work Procurement represented on the Expenditure TIC group tasked with looking at areas such non compliance, contract management and repetitive spend "Change the mitigating control in relation to NPS to reflect the joint working with WLGA / Heads of Procurement Forum given that NPS role has changed significantly and this group is working regionally. Carmarthenshire member of the WLGA group set up to consider the approach for procuring for Wales moving forward forward work programmes considered."</div>	Jan-22			

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Risk Ref	Risk Title	Assigned To			Last Review date	Next Review Date	
CRR190012	Failure to adhere to an effective Corporate Governance Framework	Head of Revenues & Financial Compliance					
Control Measures		Review Date			Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190012/001	Corporate Governance Group				Significant	Medium	
CRR190012/002	Implementation of the WLGA Review of Governance				16	8	
CRR190012/003	Annual Governance Statement					Substantial	
						Unlikely	
Action Items							
• January 2022 - This needs to be fully reviewed and discussed with Members as to whether relevance, due to timeline of the WLGA review, and what needs to be taken forward. Corporate Governance Group continues to meet on a quarterly basis Code of Corporate Governance has been signed off and approved by CMT, PEB and Governance & Audit Committee during 2021 Annual Governance Statement has been reviewed in an informal session with members of the Governance & Audit Committee and presented to the Committee formally in June 2021 as part of the statement of accounts. The final accounts were approved in September 2021 which incorporated comments from each member in September 2021. Better Use of Resources and Building a Better Council are aligned to the Annual Governance Statement which are structured based on the seven CIPFA principles of Good Governance. Code of Corporate Governance also updated to reflect the Future Generation Act and the 7 CIPFA Principles of Good Governance.		Jan-22					


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Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190028	School Leadership - Our ability to recruit and retain high quality and resilient school leaders who can respond to and deal with the transformation of education in Wales	Director of Education & Children Services		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190028/001	Develop and use a more robust competency based process to recruit school leaders	Significant	Medium	
CRR190028/002	Provide each new school leader with a mentor who's an experienced and successful school leader	16	8	12 
CRR190028/003	Encourage leaders and prospective leaders to enrol on Partneriaeth's leadership courses/programmes		Substantial	-4
CRR190028/004	Provide Educational Support Adviser support for all new school leaders		Unlikely	
CRR190028/005	Use the Headteacher Performance Management process effectively to challenge, develop and support school leaders			
Action Items <ul style="list-style-type: none"> An Assessment Centre approach to recruitment has been successfully used to recruit to the most recent Headteacher vacancies. This has led to a confidence in the recruitment process to appoint high quality school leaders. All new and acting school leaders are provided with a mentor that has the range of necessary skills and experiences to meet the specific needs of the new leader. The effectiveness of this support is monitored by the Educational Support Advisors and additional support is provided as required. The professional development of leaders across the school is integral to all discussions between schools and their Educational support adviser. This is now more relevant than ever and we focus robustly on succession planning for school leadership, perceiving a potential shortfall in the forthcoming years. The professional development of leaders across the school is integral to all discussions between schools and their Educational support adviser. This is now more relevant than ever and we focus robustly on succession planning for school leadership, perceiving a potential shortfall in the forthcoming years. The Carmarthenshire Support programme for new and acting headteachers has been constructed in partnership with our school leaders over the last 3 years; this is evaluated annually to ensure that it continues to meet the needs of new and acting headteachers. In 2021-2022 the programme will be offered to school practitioners who may be considering headship in the future, those who are not yet on the "Aspiring Heads" programme / NPQH. The aim is to motivate and upskill practitioners at an earlier stage in order to meet the demand in the future. In addition, the Educational Support Advisers provide bespoke support for new and acting headteachers, in line with need, adopting a mentoring / coaching approach as applicable. The Educational Support Advisers are integral to the Headteacher Performance Management processes; timescales have not followed the "normal" pattern during 2020/2021 due to the COVID Pandemic. In addition, training is provided annually for governing bodies so that they gain an improved understanding of the performance management systems. Headteacher support and development underpins all school improvement conversations also, outside of the PM process, with the nature of support changing to meet the different needs of the heads and their schools, for example, financial support in how to develop the Foundation Phase principles. 		Jan-22		

Risk Ref	Risk Title	Assigned To			Last Review date	Next Review Date			
CRR190062	Failure to implement Audit Wales Review Recommendations into the Authority's Planning Service. (17 recommendations have been made - key areasHead of Place & Sustainability addressed specifically in risks CRR190063, CRR19064 and CRR19065.								
Control Measures				Review Date		Uncontrolled Risk Rating	Current Risk Rating	Previous Rating	
CRR190062/001	Intervention Board and Intervention Assurance Board set up to regularly monitor progress						Significant	Medium	
CRR190062/002	Monthly Progress Report presented to Preliminary Executive Board						25	6	9 
CRR190062/003	Fortnightly meetings held with respective Executive Board portfolio members to report on progress							Moderate	-3
CRR190062/004	Performance Report presented quarterly to Planning Committee							Possible	
Action Items									
<ul style="list-style-type: none">January 2022 –update (Noelwyn Daniel, Rhodri Griffiths, Ian Llewellyn and Hugh Towns) Risk ownership changed to Head of Place and Sustainability who started in January 2022. Relevant control measure ownership to changed to Head of Place and Sustainability. <p>Reduction to current risk rating score, but still medium risk.</p> <p>Latest update report to Pre-cabinet November 2021 detailed the following progress on actions within each Audit Wales Review recommendation:</p> <ul style="list-style-type: none">Fully completed actions. Recommendations 2,4,5,7,10,12 and 13 are fully complete.Substantially completed actions. Recommendation 1 (3 of 4 actions completed), recommendation 3 (9 of 13 actions completed), recommendation 6 (5 of 7 actions completed) and the other actions being progressed.Actions progressing Recommendation 8, 9, 11,14,15,16 and 17 actions being progressed.				Jan-22					

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CORPORATE RISK REGISTER IMPACT GRID

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

STRATEGIC RISK REGISTER PROBABILITY GRID

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

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

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

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Governance & Audit Committee 11 March 2022

Audit Wales Work Programme Update	
Recommendations / key decisions required: To note the Audit Wales Work Programme Update.	
Reasons: To note the Audit Wales Work Programme Update.	
Relevant scrutiny committee to be consulted:	N/A
Cabinet Required: NO	
Council Decision Required:	NO
CABINET MEMBER PORTFOLIO HOLDER: Cllr David Jenkins	
Directorate: Corporate Services Report Author: Audit Wales	

Governance & Audit Committee
11 March 2022

Audit Wales Work Programme Update

1. BRIEF SUMMARY OF PURPOSE OF REPORT.

To provide an update on the Audit Wales Work Programme.

DETAILED REPORT ATTACHED?

YES

IMPLICATIONS

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

Audit Wales Work Programme and Timetable – Carmarthenshire County Council

Quarterly Update: 31 December 2021

Annual Audit Summary

Description	Timetable	Status
A report summarising completed audit work since the last Annual Audit Summary, which was issued in January 2021.	February 2022	Being drafted

Financial Audit work

Description	Scope	Timetable	Status
Audit of the Council's 2020-21 statement of accounts	The Council's draft statement of accounts for 2020-21 were received on 2nd July 2021.	January 2021 to September 2021	Audit complete. Statement of Accounts signed by AGW 27 September 2021
Audit of the Pension Council's 2020-21 statement of accounts	The Pension Fund's draft statement of accounts for 2020-21 were received on 30th July 2021.	January 2021 to October 2021	Audit complete. Statement of Accounts signed by AGW 19 October 2021

Description	Scope	Timetable	Status
2020-21 Grant Claim Audit Work	<p>We have been requested to undertake certification work on the following Council grant claims:</p> <ul style="list-style-type: none"> • Housing Benefit Subsidy • NHS Pooled Budget return • NHS Money Transfers • National Domestic Rates return • Teacher's Pensions return 	October 2021 to January 2022	In progress

Performance Audit work

2020-21 Performance Audit Work	Scope	Timetable	Status
Financial Sustainability	A project common to all local councils that will assess financial sustainability in light of current and anticipated future challenges building on work undertaken during 2019-20.	<p><u>Local report published November 2021</u></p> <p><u>National Summary Report published September 2021</u></p>	Complete
Review of Waste Services	To reviewed whether the Council has in place proper arrangements to plan and deliver its waste services sustainably.	<u>Final report published July 2021</u>	Complete

2021-22 Performance audit work	Scope	Timetable	Status
Well-being of Future Generations Act	We will seek to integrate the delivery of our WFG examinations	N/A	N/A

(Wales) 2015 (WFG Act) examinations	of steps to deliver well-being objectives with our other audit work. We will discuss this with the Council as we scope and deliver the audit projects listed in this plan.		
Improvement reporting audit	Audit of discharge of duty to publish an assessment of performance.	November 2021	Complete
Assurance and Risk Assessment	<p>Project to identify the level of audit assurance and/or where further audit work may be required in future years in relation to risks to the Council putting in place proper arrangements to secure value for money in the use of resources.</p> <p>At Carmarthenshire County Council the project is likely to focus on:</p> <ul style="list-style-type: none"> • financial position • self-assessment arrangements • recovery planning • implications of the Local Government and Elections (Wales) Act • carbon reduction plans • <p>We will also follow up on some of the proposals for improvement issued in earlier Audit Wales' reports.</p>	April 2021- March 2022	Ongoing
Springing Forward – Examining the building blocks for a sustainable future	As the world moves forward, learning from the global pandemic, this review looks at how effectively councils are strengthening their ability to transform, adapt and maintain the delivery of services, including those delivered in partnership with key stakeholders and communities.	October 2021 – April 2022	In progress

Local government national studies planned / in progress

Study	Scope	Timetable	Status	Fieldwork planned at Carmarthenshire County Council
Direct Payments	Review of how local authorities manage and promote the use of Direct payments	Publication Winter 2021-22	Drawing conclusions mid October, drafting and publication early 2022	No – work being delivered via Direct Payment Forum and a selection of follow up interviews
Emergency Services	Review of how well emergency services (blue light) collaborate	Publication winter 2021-22	Clearance with publication end of January 2022	N / A
Follow up on People Sleeping Rough	Review of how local authorities responded to the needs of people sleeping rough during the pandemic following up on the AGWs report of July 2020	N/A	N/A	This work is not progressing in 2021-22
Poverty	Understanding how local authorities ensure they deliver their services to minimise or reduce poverty.	Autumn 2021 - Autumn 2022	Fieldwork	Yes - interview with nominated officer at the Council

Study	Scope	Timetable	Status	Fieldwork planned at Carmarthenshire County Council
Social Enterprises	Review of how local authorities are supporting and utilising social enterprises to deliver services	Autumn 2021 - Autumn 2022	Fieldwork	Yes - interview with nominated officer at the Council
Community Resilience	Review of how local authorities can build greater resilience in communities	Autumn 2021 - Autumn 2022	Fieldwork	Yes - interview with nominated officer at the Council

Estyn

Estyn planned work 2021-22	Scope	Timetable	Status
Local Government Education Services Inspections	Estyn have worked closely with Directors of Education to review their inspection guidance for local government education services to reflect the experiences of the pandemic. The updated guidance (published on 1 July) will be piloted on the first inspection and feedback will be sought on whether any further refinements need to be made.	LGES inspections to resume from late Autumn term	N/A
Curriculum Reform thematic review	Regional consortia and local authority support for curriculum reform.	Evidence collecting in Sept/Oct - publish in early February	N/A

Care Inspectorate Wales (CIW)

CIW planned work 2021-22	Scope	Timetable	Status
National Assurance Check 2020-21	CIW has now published all assurance check letters CIW has published its national assurance check report highlighting key findings and recommendations	Published	Complete
Programme 2022-23	CIW will run an annual programme of assurance checks, performance evaluation inspections and risk based inspections	April 2022- March 2023	Planning
National review	Support for disabled children and their families.	Published	Complete
Follow-up	CIW will be following up on areas for improvement identified in the Assurance Checks or through risk based inspection activity with individual local authorities where necessary.	ongoing	One follow up risk based inspection has occurred and due to be published. Two further follow up assurance checks have occurred and due to be published in due course
Inspection	Risk based inspection activity will continue where required.	As required	No inspections are scheduled at this time (up until April 2022)

CIW planned work 2021-22	Scope	Timetable	Status
Development	CIW will continue to develop its approach to inspection and review of local authorities	April 2022	In progress
Deprivation of Liberty Safeguards Annual Monitoring Report for Health and Social Care 2020-21	Annual monitoring report in draft format currently – this is a joint report with Health Inspectorate Wales	December 2021	In progress
Annual meeting with Statutory Directors of Social Services	CIW will meet with all Directors of Social Services	Dec 2021 and Jan 2022	In progress

Audit Wales national reports and other outputs published since 1 April 2021

Report title	Publication date and link to report
Care Home Commissioning for Older People	<u>December 2021</u>
The Welsh Government's Warm Homes Programme	<u>November 2021</u>
Taking Care of the Carers? How NHS bodies supported staff wellbeing during the COVID-19 pandemic	<u>October 2021</u>
Financial Sustainability of Local Government	<u>September 2021</u>
NHS summarised accounts infographic	<u>September 2021</u>

Report title	Publication date and link to report
Picture of Public Services ¹	September 2021
Town Centre Regeneration	September 2021
Student finances	August 2021
NHS finances data-tool 2020-21	June 2021
Rollout of the COVID-19 vaccination programme in Wales	June 2021
Quality governance arrangements at Cwm Taf UHB – follow up	May 2021
Welsh Health Specialised Services Committee governance arrangements	May 2021
At your Discretion - Local Government Discretionary Services	April 2021
Procuring and Supplying PPE for the COVID-19 Pandemic	April 2021

¹ Main report published 15 September. Over the following six weeks we published five short sector commentaries: [A picture of local government](#), [A picture of healthcare](#), [A picture of social care](#), [A picture of schools](#), [A picture of higher and further education](#).

Audit Wales national reports and other outputs due to be published during 2021-22 (and other work in progress/planned)²

Title	Anticipated publication date
Welsh Government accounts commentary	February 2022
Welsh Government setting of well-being objectives	February 2022
Unscheduled care – data tool and commentary	February/March 2022
Collaborative arrangements for managing local public health resources	February 2022
COVID response & recovery / Welsh Government grants management – third sector support	February 2022
NHS waiting times data-tool and planned care commentary	March 2022
Welsh Government workforce	February/March 2022
Orthopaedic services	March 2022
Curriculum reform	Spring 2022
Equality impact assessment	Spring 2022
Climate change – baseline review	Spring/summer 2022

² We will continue to keep our plans under constant review, taking account of the evolving external environment, our audit priorities, the context of our own resourcing and the capacity of audited bodies to engage with us. This includes maintaining some flexibility so that we can respond to developments in Welsh Government policy and areas of possible interest for the new Public Accounts and Public Administration Committee.

Title	Anticipated publication date
COVID response & recovery / Welsh Government grants management - other	TBC
Affordable housing	TBC
Broadband infrastructure	TBC
Flood risk management	TBC

Forthcoming Good Practice Exchange events and publications

Title	Anticipated publication/event date
Post event resources including session recordings for the Springing Forward event on organisational resilience held on 9/12/21	Late January 2022
Direct Payments Event (title TBC)	March 30 2022

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Governance & Audit Committee 11 March 2022

Audit Wales Annual Audit Summary 2021	
Recommendations / key decisions required: To note the Audit Wales Annual Audit Summary 2021.	
Reasons: To note the Audit Wales Annual Audit Summary 2021.	
Relevant scrutiny committee to be consulted:	N/A
Cabinet Decision Required:	NO
Council Decision Required:	NO
CABINET MEMBER PORTFOLIO HOLDER: Cllr David Jenkins	
Directorate: Corporate Services Report Author: Audit Wales	

Governance & Audit Committee
11 March 2022

Audit Wales Annual Audit Summary 2021

1. BRIEF SUMMARY OF PURPOSE OF REPORT.

The report shows the work completed since the last Annual Audit Summary, which was issued in January 2021. The audit summary forms part of the Auditor General for Wales' duties.

DETAILED REPORT ATTACHED?

YES

IMPLICATIONS

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

Carmarthenshire County Council

Annual Audit Summary 2021

This is our audit summary for Carmarthenshire County Council. It shows the work completed since the last Annual Audit Summary which was issued in January 2021. Our audit summary forms part of the Auditor General for Wales' duties.

More information about these duties can be found on our [website](#).



About the Council

Some of the services the Council provides



Key facts

The Council is made up of 74 councillors who represent the following political parties:

- Plaid Cymru 37
- Labour 17
- Independent 13
- New Independent 4
- Independent Unaffiliated 1
- Welsh Conservative Unaffiliated 1
- Vacant 1

The Council spent £371.5 million on providing services¹ during 2020-21, the fourth-highest spending of the 22 unitary councils in Wales.

¹ We define spending on services as the cost of services charged to the general fund from the Expenditure Funding Analysis, less any Housing Revenue Account cost of services, plus precepts, levies and debt interest.

Key facts

As at 31 March 2021, the Council had £134.1 million of useable financial reserves². This is equivalent to 36.1% of the Council's annual spending on services, the third-highest percentage of the 22 unitary councils in Wales³.

Carmarthenshire County Council has 5 of its 112 areas deemed as the most deprived 10% of areas in Wales, this is the eight lowest of the 22 unitary councils in Wales⁴.

Carmarthenshire's population is projected to increase by 4% between 2020 and 2040 from 188,517 to 196,106, including a 5.9% decrease in the number of children, a 3.2% decrease in the number of the working-age population and a 29.1% increase in the number of people aged 65 and over⁵.

The Auditor General's duties

We completed work during 2020-21 to meet the following duties

- **Continuous improvement**
The Council had to put in place arrangements to make continuous improvements, including related plans and reports, and the Auditor General had to assess whether the Council met these requirements during 2020-21.
- **Audit of Accounts**
Each year the Auditor General audits the Council's financial statements to make sure that public money is being properly accounted for.
- **Value for money**
The Auditor General examines whether the Council has put in place arrangements to get value for money for the resources it uses, and he has to be satisfied that it has done this.
- **Sustainable development principle**
Public bodies need to comply with the sustainable development principle when setting and taking steps to meet their well-being objectives. The Auditor General must assess the extent to which they are doing this.

² We define useable financial reserves as reserves usable for revenue costs, where the purpose is not protected by law. This is the total of the general fund, earmarked reserves and schools balances. It excludes Housing Revenue Account reserves, capital receipts and capital grants unapplied.

³ Source: 2020-21 Statement of Accounts

⁴ An area in this context is defined as a 'Lower Super Output Area'. Source: Stats Wales

⁵ Source: Stats Wales



We continue to recognise the huge strain on public services and to work in a way that seeks to reduce the impact on public bodies' response to COVID-19, while still meeting our statutory duties.



To meet the Auditor General's duties we complete specific projects, but we also rely on other audit work, and the work of regulators such as Care Inspectorate Wales and Estyn (the education inspectorate). We take the findings of our audit work into account when assessing whether the Council has put in place arrangements to secure value for money. Our findings and conclusions are summarised below.

What we found

Audit of Carmarthenshire County Council's 2020-21 Accounts

Each year we audit the Council's financial statements.

For 2020-21:

- the Auditor General gave an unqualified true and fair opinion on the Council's financial statements on 24 September 2021, in line with the statutory deadline.
- the Council's Annual Governance Statement and Narrative Report were prepared in line with the CIPFA Code and relevant guidance. They were also consistent with the financial statements prepared by the Council and with our knowledge of the Council.
- the quality of the draft statements presented for audit was generally good.
- a number of changes were made to the Council's financial statements arising from our audit work, which were reported to the Audit Committee in our Audit of Financial Statements Report in September 2021.
- in addition to the Auditor General's responsibilities for auditing the Council's financial statements, he also has responsibility for the certification of a number of grant claims and returns. Our work to date has not identified any significant issues.
- the Auditor General issued the certificate confirming that the audit of accounts for 2020-21 has been completed.

Our work in response to the COVID-19 pandemic

In response to the COVID-19 pandemic, we changed the approach and focus of our performance audit work in local government and other bodies. Below is a summary of some of the work we have undertaken in response to the pandemic across a number of sectors, much of which is of relevance to local government.

We undertook a project to support public sector efforts by sharing learning through the pandemic. The project aims to help prompt some thinking, and practise exchange. [Further information is available on our website.](#)

In March 2021, we published a [national report](#) setting out an overview of progress to date on Test, Trace, Protect in Wales. In December 2020, we also published some [observations](#) of the Auditor General on procurement and supply of PPE during the COVID-19 pandemic, followed by a [report](#) in April 2021. In June 2021, we also published our [report](#) on the rollout of the COVID-19 vaccination programme in Wales.

Continuous improvement

The Auditor General certified that the Council had met its remaining Local Government (Wales) Measure 2009 duties for the financial year 2020-21, as saved by an order made under the Local Government and Elections (Wales) Act 2021.

Financial sustainability

During 2020-21, we examined the financial sustainability of each council in Wales. In October 2021 we concluded in our [report](#) that: **Carmarthenshire County Council is well placed to maintain its financial sustainability and has plans in place to deliver the efficiency savings needed to meet its identified future funding gap.**

We also published two national summary reports: the [first report](#) in October 2020 and the [second report](#) in September 2021.

Recovery planning

During 2020-21, we reviewed the arrangements that each council in Wales was putting in place to support recovery planning. In Carmarthenshire County Council we undertook this work on an ongoing basis, providing real-time feedback where appropriate.

Review of planning services (July 2021)

Our work reviewed whether the planning service was meeting its own objectives, and supporting the Council in the delivery of its overall objectives. Overall, we found in our [report](#) that **significant and long-standing performance issues in the planning service need to be urgently addressed to help support delivery of the Council's ambitions.**

Review of waste services (July 2021)

Our work reviewed whether the Council has proper arrangements in place to plan and deliver its waste services sustainably. We found in our [report](#) that **the Council has met its statutory recycling targets and has recently drafted a strategy to make its waste service more**

sustainable, but it has not finalised the strategy or got a clear plan for dealing with the large number of fly-tipping incidents in the county.

Other inspectorates

We also took into account the reports of Care Inspectorate Wales (CIW) and Estyn as well as any subsequent actions taken by the Council in response. Care Inspectorate Wales undertook an Assurance Check in Carmarthenshire County Council in 2021. A [letter](#) was issued to the Council on its findings in November 2021. No reports have been issued by Estyn related to Carmarthenshire County Council since our last Annual Audit Summary.

Local government studies

As well as local work at each council, each year we also carry out studies across the local government sector to make recommendations for improving value for money. Since the last annual improvement report, we have published the following reports:

Discretionary services (April 2021)

Financial pressures have led to councils reducing spending and cutting services, but the pandemic has shown local government services are essential to keeping people safe and healthy. We focussed on how councils define services, the systems and processes they have used to review services and how robust these are. Demand for some essential services is continuing to increase and councils are not confident that they can continue to deliver these services in the face of this rising and complex demand. Councils need to take the opportunity to refresh, reevaluate and reset what they do and to learn from the pandemic to build a better future. Our [report](#) was published in April 2021.

Regenerating town centres in Wales (September 2021)

Between 1950 and 1980, local authorities prioritised regeneration of town centres creating new and greater retail space. However, past policy choices, changing consumer expectations and technological advances are now adversely affecting many Welsh town centres. And the pandemic has created challenges for local government and central government, with one in seven shops on Welsh high streets now empty, despite the Welsh Government investing and leveraging in £892.6 million in the last seven years. Local authorities do not have the capacity to respond to this situation and are not always using the powers they have to help regenerate towns. To deliver the best local outcomes, policies and joint working need to be aligned and integrated, and resources prioritised on town centres. Our [report](#) was published in September 2021.

Planned work for 2021-22

We also looked at the key challenges and opportunities facing the Council. These could have an effect on the Council's ability to meet its legal obligations in relation to the sustainable development principle and the use of its resources.

The most significant risk and issue facing councils and the wider public sector during 2021-22 continues to be the COVID-19 pandemic. We have shaped our work to provide assurance and challenge in a way which helps to support the Council through this period. Our planned work for 2021-22 includes:

- Assurance and risk assessment including a focus on:
 - The Local Government and Elections Act (Wales) 2021
 - Recovery planning
 - Carbon reduction plans
 - Self-assessment arrangements
 - Financial position
- Springing Forward – as the world moves forward, learning from the pandemic, this review looks at how effectively councils are strengthening their ability to transform, adapt and maintain the delivery of services, including those delivered in partnership with key stakeholders and communities.
- Improvement reporting audit.

The Auditor General is independent of government, and is appointed by Her Majesty the Queen. The Auditor General undertakes his work using staff and other resources provided by the Wales Audit Office, which is a statutory board established for that purpose and to monitor and advise the Auditor General. The Wales Audit Office is held to account by the Senedd.

The Auditor General audits local government bodies in Wales, including unitary authorities, police, fire and rescue authorities, national parks, and community councils. He also conducts local government value for money studies, assesses compliance with the remaining requirements of the Local Government (Wales) Measure 2009 and may undertake special inspections under the Local Government and Elections (Wales) Act 2021.

Beyond local government, the Auditor General is the external auditor of the Welsh Government and its sponsored and related public bodies, the Senedd Commission, and National Health Service bodies in Wales.

Audit Wales is the non-statutory collective name for the Auditor General for Wales and the Wales Audit Office, which are separate legal entities with their own legal functions, as described above. Audit Wales is not a legal entity.

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

This document is also available in Welsh.

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Governance & Audit Committee 11 March 2022

Minutes of relevant Groups to the Governance & Audit Committee		
Recommendations / key decisions required: Minutes to be received.		
Reasons: Terms of Reference for the Governance & Audit Committee stipulate that minutes of the Grants Panel, Corporate Governance Group and Risk Management Steering Group be received by the Governance & Audit Committee.		
Relevant scrutiny committee to be consulted: N/A		
Cabinet Decision Required: N/A Council Decision Required: N/A		
CABINET 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

Governance & Audit Committee

11 March 2022

Minutes of relevant Groups to the Audit Committee

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

The following Minutes are attached:

- Corporate Governance Group Minutes
- Risk Management Steering Group

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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Minutes of the Corporate Governance Group

10th December, 2021

9.00 am – 10:15 am

Virtual Meeting: Teams

Present:

Cllr. David Jenkins (DJ)	Executive Board Member (Resources) (Chair)
Paul Thomas (PT)	Assistant Chief Executive
Chris Moore (CM)	Director of Corporate Services
Helen Pugh (HP)	Head of Revenues and Financial Compliance
Alison Wood (AW)	People Services Manager
Gwyneth Ayers (GA)	Corporate Policy & Partnership Manager
John Williams (JW)	ICT Operations & Governance Manager
Ruth Morgan (RM)	Senior Administrative Officer

Apologies:

Cllr. Mair Stephens (MS)	Executive Board Member (HR)
Linda Rees Jones (LRJ)	Head of Administration and Law
Randal Hemingway (RH)	Head of Financial Services
Noelwyn Daniel (ND)	Head of ICT
Cllr. Tina Higgins (TH)	Councillor

Item No.	Discussion / Action	Responsible Officer
1.	<u>Apologies</u> As noted above.	RM
2.	<u>Minutes of previous Meetings dated 17th September, 2021 and Matters Arising</u> It was confirmed, the Minutes were a correct record and no matters had been raised by the group.	
3.	<u>AGS – Update on Actions – (All)</u> A group discussion had been carried out in terms of reviewing / updating the outstanding current Actions and HLP updated the AGS master template accordingly. HLP confirmed, updated papers to be shared in the next meeting.	
4.	<u>Internal Audit Final Report – AGS – (All)</u> For information purposes, HLP shared with the group, the above Report and Action Plan. Chair confirmed the group were happy to accept the Report.	

5.	<p><u>Council Performance Management Framework – (GA)</u></p> <p>The Performance Management Framework had been submitted to DMTs / CMT and pre Cabinet and was raised during the meeting for completion purposes.</p> <p>The framework was agreed and would be published via the Council’s intranet with communication to be provided to employees on how the framework works.</p> <p>Key elements being :-</p> <p><u>Engagement and Assurance Sessions</u></p> <ul style="list-style-type: none"> • New approach being undertaking in terms of the Engagement and Assurance Sessions with each of the DMTs as to the preparation of their departmental Business Plans. <p>Timetable of the Sessions for respective departments as follows:-</p> <ul style="list-style-type: none"> - Corporate Services – completed. - Communities – completed. - Education and Children Services – scheduled for middle of December. - Environment - scheduled for middle of December. - Chief Executive - during January. <p>Sessions being carried out by a team of Corporate Officers.</p> <p><u>Development of Performance Management Sessions</u></p> <ul style="list-style-type: none"> • Qtr. 2 - A session had been carried out with CMT on Qtr. 2 performance and to be rolled out accordingly. • Qtr. 3 – Ultimately, anticipating to receive the same performance report to pre-cabinet. • Dashboard – Continues to be made available. <p><u>Corporate Strategy</u></p> <ul style="list-style-type: none"> • As a result of the forthcoming Local Government Elections in May, preparatory work regarding the structure and approach to be carried out in the new year. <p><u>Panel Performance Assessment</u></p> <ul style="list-style-type: none"> • Once the new administration has been established in May, discussion are required regarding the carrying out of the PPA during the 5 year administration. 	
6.	<p><u>Information Governance – Verbal Update – (JJ)</u></p> <p>Since the last update, no breaches had been reported to the ICO. However, there continued to be concerns regarding numerous e-mail</p>	

	<p>addresses being forwarded incorrectly. Management Team and HoS have been informed of this.</p> <p>An update to be provided in the next meeting in relation to the promoting of the Handling Personal Information Policy which has been circulated to employees.</p> <p>Require to continue raising awareness with regards to these errors.</p> <p>The Cyber Security Stock-take Report has been approved by CMT. JW to circulate to group members the Recommendations from the Report, which are listed as follows:-</p> <ul style="list-style-type: none"> • Enforce Multi-Factor Authentication (MFA) for all staff. This will be a similar principal to on-line banking where you receive a secure code or text message to your mobile phone to confirm identity. Work with HR on how this could possibly be implemented into new staff contracts and service areas to raise awareness of the benefits of using MFA. • Service areas need to prepare for cyber incidents by having Business Continuity plans that do not rely on IT – if systems needed to be restored from backup, there is a time for recovery during which there would be no access to IT systems. • ICT Services to carry out testing of DR plans to determine how long it would take to recover a system from tape (offline backups). • Penetration testing – vulnerability scanning is carried out regularly but there is value in having an ethical hacker attempt to break into IT systems in the same way as their black-hat counterpart would. • Continue to develop and evolve the Cyber Incident Response Plan to reflect emerging cyber risks. • Procurement of new Cyber Awareness Training for all staff. Welsh Government have already funded training for Councillors. <p>2 Actions being:-</p> <ul style="list-style-type: none"> • Action Plan from the Report. • Figures and feedback from the Phishing Exercise to be brought back to the group. <p><u>Information Governance – Informal Group Actions/Minutes – (Last meeting cancelled, therefore no minutes to share)</u></p> <p>As stated above.</p>	
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7.	<p><u>Performance and Governance of Principal Councils (Local Government and Elections Bill (Wales) on Chapter 6) – Verbal Update – (LRJ)</u></p> <p>Prior to the meeting, LRJ provided HLP with a written update. In LRJ's absence, HLP read out the following:-</p> <p><i>"- there are two aspects to this, the performance assessment side which Gwyneth will need to update the meeting on, (has already updated during the meeting) and the democratic side. On the democratic side of the requirement for a Public Participation Strategy, we are preparing to recruit more lay members to the Governance and Audit Committee (a third of the members will have to be lay members, and the Chair will have to be a lay member), working up proposals for an electronic petitions scheme, are awaiting a model Simple Guide to the Constitution which the WLGA have commissioned from outside solicitors, which we will need to adapt to our own Constitution when it is available".</i></p> <p>From LRJ's update, HLP confirmed as follows:-</p> <ul style="list-style-type: none"> • Panel Performance Assessment – GA provided an update during the meeting. • Lay members – To consist of 8 Councillors and 4 Lay Members. Chair of the Audit Committee to be included as one of the Lay Members. 	
8.	<p><u>Corporate Joint Committees (CJCs) – Verbal Update – (LRJ)</u></p> <p>Prior to the meeting, LRJ provided HLP with a written update. In LRJ's absence, HLP read out the following:-</p> <ul style="list-style-type: none"> • <i>"There are 4 x regional CJCs in Wales, and Carmarthenshire is part of the South West Wales CJC. This has long since been established in law by the South West Wales Corporate Joint Committee Regulations. The CJC has a legal status all of its own, but is regarded by WG as being "part of the local government family", so the usual provisions eg public access to meetings, papers, webcasting etc will apply.</i> • <i>Some Regions are looking to make their City Deal arrangements into the CJC, but our CJC isn't doing that.</i> • <i>the SWW CJC is proposing to limit the functions invested in the CJC to the ones mandated by legislation ie. strategic development planning, regional transport planning and promotion of the economic well being of the region.</i> • <i>on 2nd December 9 new sets of Regulations came into force re CJCs (imposing such duties as biodiversity and resilience of ecosystems / socio economic / Welsh language standards / well being of future generations / child poverty strategy and there is a lot of concern being voiced about the burdens and</i> 	

	<p><i>requirements being imposed on CJs when essentially they have a very narrow mandated remit (although concern is also being expressed about WG's ambition to impose more on the CJs than their original functions eg the bus reform agenda).</i></p> <ul style="list-style-type: none"> • <i>WG are currently consulting on Tranche 3 of Regulations (closes on the 22nd December), which covers things such as the Code of Conduct for CJC members and co-opted members, extending the role of regulators such as the Public Services Ombudsman for Wales to CJs, giving CJs the power to trade, views about what the scrutiny arrangements should be, requiring the CJC to have a general fund etc.).</i> • <i>a fourth set of Regulations are to be consulted upon in early 2022 to cover such things as standing orders for officers, application of new performance and governance regime etc.</i> • <i>Work has been ongoing in drafting all the base documentation for the CJC in so much as we can, bearing in mind all the outstanding consultations on various aspects, such as the Constitution, Standing Orders etc.</i> • <i>The Regulations provide that the 4 x Leaders will be the local authority members of the main CJC. The 2 x National Park Authorities will be members but will have limited voting rights.</i> <p><i>There will be sub-committees on the identified functions (on which the cabinet member portfolio holders will probably sit), plus sub-committees such as Governance and Audit and Standards (a third of which will be made up of lay members). Guidance is still awaited on the arrangements for Scrutiny, although the general feeling across Wales seems to be that the CJC ought not to be allowed to scrutinise itself and should be subject to local authority scrutiny.</i></p> <p><i>It looks likely that the SWW CJC will hold 2 meeting in January – one to deal with appointments of officers and standing orders, and a second to deal with the budget. Chris Moore is the s. 151 officer and finance officer for the CJC so should be able to update the meeting on where that's at, and on the tax and vat issues that are being looked at by WG and HMRC. NPT is providing the Monitoring Officer, Pembrokeshire the governance and audit function. It looks likely that the CEX is to be recruited (on an interim appointment?) rather than any of the 4 x CEXs performing the function".</i></p> <p><i>In addition, regarding accounting procedures in terms of VAT, possibility of having to register the CJC for VAT and HRMC.</i></p> <p><i>CM regarding accounting procedures the status of the body in respect of VAT, looks like we will have to register the CJC for VAT and HRMC.</i></p>	
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	Feedback to be brought back to the next meeting, following the 2 CJC meetings which are scheduled during January 2022.	
9.	<p><u>CRWG – Verbal Update – (LRJ)</u></p> <p>Prior to the meeting, LRJ provided HLP with a written update. In LRJ's absence, HLP read out the following:-</p> <p><i>"CRWG was intending to have recommended a revised Scheme of Delegation to Officers and a revised Protocol on Representations to the County Council on Planning Applications to Full Council on 8th December, the revisions to the Scheme covering things such as reflecting the movement of services and functions from one Department to another over the years, changes in job titles, new functions arising from new legislation, and some additional delegations being sought (eg changing the threshold for the number of objections required before an application needs to be escalated to Planning Committee rather than being taken by officers etc) and the revisions to the Protocol seeking to better clarify the procedures and deadlines for making representations. But the item was withdrawn because of queries and proposed amendments coming in from the Opposition on the eve of the meeting. Although there was still a majority of CRWG recommending the recommendations in the report it was felt that it would have been awkward to have a discussion on some minute details in a meeting of 74 members. As such, a fresh CRWG has been scheduled for the 5th January in the hope that an agreed Scheme and Protocol can be put to Council on the 19th January 2022".</i></p>	
10.	<p><u>Monitoring Outputs of Carmarthenshire CC led projects</u></p> <p>AGREED to be deferred until March 2022.</p>	
11.	<p><u>Planning Service Governance Arrangements – (HLP)</u></p> <p><u>Council Meeting – 15/09/21</u></p> <p>Following updates had been raised :-</p> <ul style="list-style-type: none"> • Rhodri Griffiths has been appointed as the new Head of Place and Sustainability, and commencing his position as HoS, end of December. • A meeting has been scheduled between the Chief Executive, Leader, Cllr. Hazel Evans, Cabinet Member and PT to discuss the interim arrangements for the Director of Environment's post due to 2 individuals who had submitted their applications for the Director's role who have now withdrawn. Purpose of the meeting, to look at all the options. • An update is due to be submitted to Audit Committee on the Actions on delivering the Audit Wales Report recommendations. 	

12.	<p><u>Any Other Business</u></p> <p>The following items had been raised :-</p> <ul style="list-style-type: none"> • <u>Partner Relationships – GA</u> There have been 2 key appointments as follows:- <ul style="list-style-type: none"> - Richard Lewis, Chief Constable of Dyfed Powys Police. Commencing 13/12/21. - Rhodri Thomas, Chief Fire Officer for Mid and West Wales Fire Service. • <u>Governance Structure for Pentre Awel</u> CM confirmed, he had circulated the latest Governance Structure to group members during the meeting. Logged in the minutes that they have been put in place. • <u>Contract Management</u> The following work continued to be on going:- <ul style="list-style-type: none"> - Procurement Division drafting a Contract Management Guide. - Liaising with L&D Team for e-learning - Chair, Chief Executive and CM are due to have a meeting regarding contract management. CM to follow it up. <p>Chair thanked all present for their attendance and contribution and called the meeting to a close at 10:30 am.</p>	
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ANNUAL GOVERNANCE STATEMENT – Actions Update @ February 2022

UPDATE ON OUTSTANDING GOVERNANCE ISSUES IDENTIFIED IN PREVIOUS ANNUAL GOVERNANCE STATEMENTS					
SOURCE	ISSUES	RESPONSIBLE OFFICER	ACTIONS/PROGRESS		STATUS
AGS 2017/18 No.6	Monitor and evaluate People Strategy Group/Work stream actions relating to AW People Performance Management recommendations.	Assistant Chief Executive – People Management	March 2020	Consolidating learning and moving forward. PSGB Group has met through COVID19, but revaluation of way forward needed.	<p>On going Currently in discussions with IIP – high level review for further accreditation planned. Steering group is refocusing its objectives.</p> <p>IIP meetings held in November / early December. 6th formers event done. Aiming for gold – workplan to be put in place. Empowerment & wellbeing being two main focus. Reconfigure the group to align with expectations.</p> <p>The interim report received from IIP to CMT in next fortnight. Then to pre-cabinet following that.</p>
AGS 2019/20 No.8	Ensure Employment Policies reflect any new legislation such as exit payment cap, reclaiming exit payments etc.	People Services Manager	March 2021	<p>Ongoing – On 12/2/21 the UK Government repealed the exit pay cap provisions. We await new legislation and will update policies accordingly.</p> <p>The legislation is likely to come back in the Autumn. Waiting for this, following these policies will be reviewed and updated where required.</p>	<p>2021/22</p> <p>Exit pay cap legislation was due in December but has not been received – likely now to be 2022.</p> <p>ACAS compliant policies in place.</p> <p>Still awaiting information</p>

AGS 2019/20 No.13	Implement appropriate changes in respect of the governance arrangements of the Local Authority Companies in response to the Governance Review Report.	Corporate Management Team	June 2021	Democratic decision has been taken to put one company into dormancy. Decision has been taken that reports from the other two companies to be presented to Cabinet on 6 monthly basis.	CWM updates commenced - reported recently to CMT in December 2021 – to be next taken to Pre Cabinet. Delivered Llesiant will be reporting to Pre-Cabinet shortly. TIC review being undertaken on Llesiant. Planned work in programme Governance update review to be carried out early 2022.
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AGS 2020/21 No.1	Review Staff Travel Policy	People Services Manager	April / May 2021	Draft presented to CMT 16 th September 2021 Principles agreed and consultation now will commence with TU. Following which the policy will go back to CMT and follow through the political process.	Consultation to be completed by end of 2021 Meeting TU - 16 th January 2022. Final versions will then go to CMT and then through the political process. Travel policy with TU until 4th March for comments. Formal presentation and awaiting for formal response.
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AGS 2020/21 No.2	Implement The Local Government and Elections (Wales) Act requirements	Corporate	May 2022	The elements that have not been implemented to date have a timetable that needs to be met to deliver the Act's requirement / timescale.	Ongoing Elements of performance & governance implemented. Elections – in hand Statutory Guidance not provided yet, some draft guidance issued last week. Democratic participation strategy.
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AGS 2020/21 No. 3	Develop governance arrangement around the better ways of working once plan is in place – for officers	Chair of Better Ways of Working Strategic Group	2021/22	<p>Facilitated sessions underway for each HoS teams.</p> <p>3 sub groups in place reporting into Strategic group.</p> <p>Communications plan being drawn up for the project</p> <p>Two pilots to commence on hybrid working.</p>	<p>Ongoing</p> <p>Two pilots in place.</p> <p>Each service is now collating information to determine the practicalities / operational needs.</p> <p>Also working ongoing with other public sector bodies – joint working.</p> <p>BWoW strategic meetings continue – space allocations collated from all HoS to inform the property strategy.</p>
AGS 2020/21 No. 4	Develop governance arrangement around the better ways of working once plan is in place – for Members	Chair of Better Ways of Working Strategic Group / Head of Legal and Democratic Services	2021/22	<p>Dem services cttee have put a working group together</p> <p>Engagement with all the groups underway.</p> <p>Next step is to survey the members and collate their views.</p>	<p>Ongoing</p> <p>Information now being pulled together to determine the practicalities / operational needs</p> <p>Feedback from the working group</p>
AGS 2020/21 No.5	Recruit lay members for Audit Committee	Head of Legal and Democratic Services / Director of Corporate Services / Head of Revenues & Financial Compliance	2021/22	<p>Awaiting Clarity on interpretation of the Act from WG.</p> <p>Job specification being reviewed</p>	<p>Job Specification drawn up</p> <p>Job advert drafted – both to be presented to Governance & Audit Committee for approval 17th December 2021.</p> <p>Lay members advert and readvertised. Shortlisting panel determined</p>

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RISK MANAGEMENT STEERING GROUP

Minutes of Meeting held on

Thursday, 10th February 2022

Via Microsoft Teams

Members Present:			
Helen Pugh (Chair)	Corporate Services	Corporate Services Risk Champion (Interest declared for Agenda Items 10.1 and 10.2 – HLP not present for these items)	HLP
Cllr David Jenkins	Executive Board Member (Corporate Services)	Executive Board Risk Champion (for Agenda Items 1,2,3 and 7 only – connectivity issues)	DJ
Jonathan Fearn	Communities	Chair of Property & Liability Risks Working Group	JF
Stephen G Pilliner	Environment	Chair of Transport Risks Working Group	SGP
Simon Davies	Education & Children	Education & Children Risk Champion	SD
Julie Standeven	Corporate Services	Principal Risk Officer	JS
Jackie Bergiers	Chief Executive's	Lead Business Partner (H&S)	JB
Jason G Jones	Environment	Property Maintenance Manager	JGJ
Sam Walker	Communities	Operations Manager, Pembrey Country Park	SW
Louise Church	Chief Executive's	Senior Adviser (Health & Safety)	LC
Dave Williams	Queen Elizabeth High School	Headteacher (for Agenda Item 7 only)	DW
Nigel Cooke	Queen Elizabeth High School	School Business Manager (for Agenda Item 7 only)	NC
Jon Owen	Chief Executive's	TIC Programme Manager (for Agenda Item 8 only)	JO

Item No	Subject	Action
1.	Apologies Richard Stradling – Communities (Leisure) Risk Champion Richard Davies – Communities (Social Care) Risk Champion	

	<p>Alan Howells – Environment Risk Champion</p> <p>Sue P John – School Organisation & Admissions Manager, Education & Children</p> <p>Hayden S Burns – Archives Transformation Manager, Communities</p> <p>Gary Price – Actif Operations Manager, Communities</p> <p>Huw Jones – Marsh UK Ltd</p>	
7	<p>RM Bid Review – QE High School – Anti-bullying Toilets</p> <p>HLP (Chair) re-arranged the order of the Agenda to consider Item 7 at the beginning of the meeting.</p> <p>This was a departmental initiative, supported by the Steering Group, to install anti-bullying toilets at Q E High School.</p> <p>DW provided a presentation to the Group confirming:</p> <ul style="list-style-type: none"> • Installation of Phase 1 and 2 successfully implemented • Pupils are now more confident to use the facilities and less intimidated, improving pupil wellbeing. • Parental feedback has been extremely positive and felt that pupils’ concerns had been listened to and acted upon. • The areas are now free from graffiti and vandalism <p>DW thanked the Group for its support with the initiative and the opportunity to provide positive feedback on behalf of the School.</p>	
2.	<p>Minutes of Last Meeting</p> <p>The Minutes of the Risk Management Steering Group Meeting held on Thursday, 11th November 2021 via Teams, were confirmed as a true record.</p>	
3.1	<p>Matters arising from Risk Management Steering Group Minutes.</p>	
3.1.1	<p>Alarm Receiving Centre</p> <p>JS advised that documentation/information was recently received from Delta Wellbeing, for submission to the Council’s Property Insurers, to consider their suitability to provide an Alarm Receiving Centre service.</p> <p>JF advised that a review of the current provision of fire and security alarms throughout the Authority and the monitoring of these systems was required. Review to include a proposed action plan and possible future bid for funding from the Risk Management Fund.</p>	JS
3.1.2	<p>Water Safety Equipment</p> <p>JB advised that IT issues had delayed the review and the issue of the report.</p> <p>Update to be provided at next meeting.</p>	JB
3.1.3	<p>Mod.Gov</p> <p>Confirmation received from Democratic Services that the Mod.Gov platform was available for use by the Risk Management Steering Group.</p> <p>The Group agreed that the Mod.Gov platform to be used for future meetings and JS nominated as the Group’s “departmental publisher”. JS to contact Democratic Services for “departmental publisher” training.</p>	JS

4.	Minutes of Property & Liability Risks Working Group Meeting – 4th February 2022 The Minutes were noted.	
4.1	Matters arising from Property & Liability Risks Working Group Minutes	
4.1.1	Property / Liability Training JF advised that a number of training sessions had been provided by Insurers, Brokers and Loss Adjusters. Subjects included: <ul style="list-style-type: none"> • Property damage claims • Construction Insurance / Owner Controlled Insurance Programmes • Contractor Insurance Requirements Sessions were well attended and feedback positive.	
4.1.2	Secure by Design Fencing – Schools JF advised that the design of school fencing was being reviewed following issues identified by the Corporate H&S Team. Review to consider identified remedial actions, with a possible Risk Management bid to be brought forward, should works be recommended.	
5.	Minutes of Contingency Planning Working Group Meeting – 28th January 2022 The Minutes were noted.	
5.1	Matters arising from Contingency Planning Working Group Minutes	
5.1.1	Departmental Business Continuity Plans HLP advised that a sub-group had been established to complete a critical friend exercise, to challenge the current process for the completion and review of the Departmental BC Plans.	
5.1.2	Data Centre Business Continuity HLP advised that recent improvements to the Council's Data Centre arrangements, supported its primary focus to improve resilience and optimise recovery solutions.	
5.1.3	Critical Incident Protocol SD advised that as a result of communication difficulties experienced during Storm Barra, a new protocol had been introduced for schools to alert the Council of critical incidents.	
6.	Minutes of Transport Risks Working Group – 27th January 2022 The Minutes were noted.	
6.1	Matters arising from Transport Risks Working Group	
6.1.1	Zurich Municipal Motor Vehicle Grading Report SGP advised that Council officers had met with Zurich Municipal to discuss progress made in relation to the Insurers recommendations. Ongoing progress will be reported to and monitored by the Transport Risks Working Group.	

6.1.2	Minibus D1 Licence SGP advised that following a comprehensive review of the category D1 licence requirements, the Transport Risks Working Group had resolved that <u>all</u> drivers of Council minibuses must have a category D1 licence, Action <ul style="list-style-type: none"> Check with Fleet Manager/HR Officer that guidance note has been issued to schools 	JS
6.1.3	Changes to the Highway Code SGP advised that the Fleet Manager was liaising with the Road Safety Team to raise awareness of the recent changes to the Highway Code.	
8.	TIC Review – Final Report JO presented the final report of the TIC Review of Risk Management Arrangements. HLP advised that the TIC Review recommendations would be monitored via an action plan also incorporating the Audit Wales and Internal Audit Review recommendations. Progress report to be provided to Risk Management Steering Group as standing Agenda item.	HLP/JS HLP/JS
9.	Sprinkler Policy HLP advised that the Council’s Sprinkler Policy was to be reviewed. The review to include input from Risk Management, Property Design, the Authority’s Brokers and Property Insurers. Update to be provided at next meeting.	HLP/JS
10.	Bids for Financial Assistance tabled at the Property & Liability Risks Working Group – 04/02/2022	
10.1	E&C – Talley School This Departmental bid related to the installation of safeguarding and security improvements at Talley School. It was agreed that the Departmental bid (i.e. 50% of the estimated cost) be approved.	
10.2	E&C – Cwrt Henri School This Departmental bid related to the installation of safeguarding and security improvements at Cwrt Henri School. It was agreed that the Departmental bid (i.e. 50% of the estimated cost) be approved.	
11.	Bids for Financial Assistance tabled directly at the Risk Management Steering Group – 10/02/2022	
11.1	CEX – HR Advisor – Employment Safeguarding This Corporate bid related to the appointment of a HR Advisor specifically responsible for Employment Safeguarding for a period of 12 months. It was agreed that the Corporate bid (i.e. 100% of the estimated cost) be approved.	

11.2	E&C – Ysgol Bro Dinefwr This Departmental bid related to the installation of an effective communication system at Ysgol Bro Dinefwr. It was agreed that the Departmental bid (i.e. 50% of the estimated cost) be approved in principle subject to further investigation of additional safeguarding and security measures required at the site.	SD/JB
12.	Any Other Business None	
13.	Next Meeting May 2022 via Microsoft Teams – exact date to be advised	

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Governance & Audit Committee

Friday, 17 December 2021

PRESENT: Councillor T.M. Higgins (Chair);

Councillors:

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

Co-opted Member:

Mrs. J. James;

Also present as an observer:

Councillor D.M. Jenkins – Cabinet Member for Resources;

The following Officers were in attendance:

C. Moore, Director of Corporate Services;

R. Mullen, Director of Environment;

N. Daniel, Head of ICT and Corporate Policy; Interim Head of Planning;

J. Fearn, Head of Property;

J. Jones, Head of Regeneration;

H. Pugh, Head of Revenues and Financial Compliance;

L.R. Jones, Head of Administration and Law;

P.R. Thomas, Assistant Chief Executive (People Management & Performance);

C. Powell, Principal Auditor;

G. Ayers, Corporate Policy and Partnership Manager;

S. Rees, Simultaneous Translator;

E. Bryer, Democratic Services Officer;

M.S. Davies, Democratic Services Officer.

Virtual Meeting: 10.00 am - 1.10 pm

1. APOLOGIES FOR ABSENCE

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

2. DECLARATIONS OF PERSONAL INTERESTS

Member	Minute Number	Nature of Interest
Mrs. J. James	3- Appointment of Lay Persons to the Governance and Audit Committee	Lay Member of the Committee

3. APPOINTMENT OF LAY PERSONS TO THE GOVERNANCE AND AUDIT COMMITTEE

(NOTE: Mrs. J. James had earlier declared an interest in this item]

The Committee was informed that the Local Government and Elections (Wales) Act 2021 required one third of the members of the Governance and Audit Committee to be lay persons and for a lay person to be appointed as Committee Chair. Accordingly, consideration was given to a report detailing options for the size of the committee, and recommended arrangements for the appointment of the

additional lay members to meet the Act's requirements which would come into force on the 5th May 2022.

UNANIMOUSLY RESOLVED

3.1 to note the new requirement arising from the Local Government and Elections (Wales) Act 2021 for one third of the Governance and Audit Committee membership to be made of lay persons, and for the Committee to be Chaired by a lay person from May 2022;

3.2 to approve the arrangements detailed in the report for the recruitment of lay persons to meet this requirement with the shortlisting of applicants being undertaken by a three member politically balanced Panel of Governance and Audit Committee Members (1 Plaid Cymru, 1 Labour and 1 Independent) with nominations for the Panel confirmed by the relevant Political Parties and notified to the Chief Executive and Head of Democratic Services.

3.3 TO RECOMMEND TO COUNCIL a Governance and Audit Committee of 12 members i.e. 8 elected members (as currently) and 4 lay persons to accord with the new requirement arising from the Local Government and Elections (Wales) Act 2021 for one third of the Governance and Audit Committee membership to be made of lay persons.

4. PROGRESS REPORTS

4.1. PEOPLE MANAGEMENT UPDATE REPORT

The Committee considered an update report in relation to People Management which outlined the health and well-being support being provided to staff, including support for managing mental health, and the work being done in relation to the key themes of the Authority's People Strategy. The report also provided an overview of the measures put in place to support staff during the pandemic and the plan which would be developed during 2022/23. The Assistant Chief Executive – People Management expressed disappointment over the fact that the Authority had failed to secure any Welsh Trade Union Funding (WULF) that required local Trade Union endorsement to financially supplement the good work that the Authority had achieved in the training of staff in relation to Mental Health in the Workplace. He added that this would be a matter he would be pursuing and pointed out that the Authority, from its part, had already doubled 'facility time' for trade union representatives, which was integral to discussions between the recognised Trade Unions and the Leader, Deputy Leader and Chief Executive. The Trade Unions had committed to support access to WULF money, were Facility Time to be increased, which it had.

Amongst the issues/observations raised on the report were the following:-

- It was noted that the data from the Authority's covid-live feed enabled services to be managed effectively;
- The Assistant Chief Executive – People Management, in response to a question, commented that there was now an increased focus on staff engagement and dialogue as part of the Authority's appraisal system;
- The Assistant Chief Executive – People Management referred to the ways in which job-profiles and adverts had been re-appraised in areas where it had been difficult to recruit staff and attract applications. He added that the Authority also had flexibility in terms of its pay-policy statement and market

- supplements both to attract and retain staff;
- Members agreed that the response of the trade unions to the Authority's request for a contribution towards the cost of providing additional mental health support in the workplace was disappointing.

UNANIMOUSLY RESOLVED that the Progress Report on People Management be received.

4.2. AUDIT WALES: REVIEW OF PLANNING SERVICE - CARMARTHENSHIRE COUNTY COUNCIL

Further to minute 5.1 of the meeting held on the 24th September 2021 the Committee considered a quarterly update report in response to the Audit Wales recommendations and agreed actions arising from the review of the Council's Planning Services. The report sought to provide assurance to the Governance & Audit Committee that significant progress had been made over the last seven months.

Amongst the issues/observations raised on the report were the following:-

- Members welcomed the progress being made on the recommendations and staff were thanked for their work particularly in light of the covid pandemic;
- In response to a question as to how planning enforcement would be coordinated the Committee was advised that the legislation surrounding planning enforcement was complex but programmes and systems were being reviewed to make processes and progress more sustainable;
- The Interim Head of Planning confirmed that he would be returning to his role as Head of ICT once the recently appointed Head of Place and Sustainability joined the Authority;
- The Committee was assured that NRW and Dwr Cymru were always consulted on planning applications when necessary.

UNANIMOUSLY RESOLVED to note the progress made by Carmarthenshire County Council in response to the Audit Wales recommendations.

5. INTERNAL AUDIT PLAN UPDATE 2021/22

The Committee considered a progress report on the implementation of the 2021/22 Audit Plan. It was highlighted that the cyber security risk audit would now be undertaken as part of the 2022/23 Internal Audit Plan. The Authority also had arrangements in place to check for fraudulent covid-related payments.

UNANIMOUSLY RESOLVED that the 2021/22 Internal Audit Plan update report be received.

6. AUDIT WALES REPORT: REGENERATING TOWN CENTRES IN WALES

The Committee considered a report by Audit Wales entitled 'Regenerating Town Centres in Wales', which called for all levels of government to step up to help make town centres sustainable, and Carmarthenshire County Council's response to those recommendations of the report which were relevant to the Council. These specifically related to the use of existing enforcement, financial assistance and debt recovery powers, and the use of the regeneration tool produced by Audit Wales to enable local authorities to self-assess their current approaches to identify where they needed to improve their work on town-centre regeneration.

In response to a question the Head of Regeneration gave a reassurance that, mindful of any implications arising from covid which could involve staff being allocated to other duties, there were sufficient staff in place to help deliver on the recommendations relevant to the Council.

UNANIMOUSLY RESOLVED to receive the report and note Carmarthenshire County Council response to the recommendations of the national report relevant to the Council.

7. PROGRESS ON REGULATORY REPORT RECOMMENDATIONS

The Committee considered a report outlining progress made on regulatory report recommendations in accordance with the requirements of the Local Government Act (Wales) 2011 which required Audit Committees to follow up regulatory report recommendations.

The Wales Audit Office report on Audit Committee Effectiveness (July 2018) contained a Proposal for Improvement that arrangements should be strengthened for tracking actions taken to address recommendations in regulatory reports. The process of reporting regularly to the Audit Committee addressed this proposal.

UNANIMOUSLY RESOLVED that the report be received.

8. GOVERNANCE & AUDIT COMMITTEE FORWARD WORK PROGRAMME

The Committee considered the proposed Forward Work Programme for the 2021/22 Audit Committee Cycle detailing the items to be presented to Committee at scheduled meetings during the forthcoming year.

UNANIMOUSLY RESOLVED that the report be received.

9. MINUTES OF RELEVANT GROUPS TO THE GOVERNANCE AUDIT COMMITTEE:-

9.1. RISK MANAGEMENT STEERING GROUP - 11TH NOVEMBER 2021

UNANIMOUSLY RESOLVED that the minutes of the Risk Management Steering Group held on 11th November 2021, be received.

9.2. CORPORATE GOVERNANCE GROUP - 17TH SEPTEMBER 2021

UNANIMOUSLY RESOLVED that the minutes of the Corporate Governance Group held on 17th September 2021, be received.

9.3. GRANTS PANEL - 7TH JUNE 2021

UNANIMOUSLY RESOLVED that the minutes of the Grants Panel held on the 7th June, 2021 be received.

9.4. GRANTS PANEL - 11TH OCTOBER 2021

UNANIMOUSLY RESOLVED that the minutes of the Grants Panel held on the 11th October, 2021 be received.

10. TO SIGN AS A CORRECT RECORD THE MINUTES OF THE GOVERNANCE AND AUDIT COMMITTEE HELD ON 12TH OCTOBER 2021

UNANIMOUSLY RESOLVED that the minutes of the meeting of the Audit Committee held on the 12th October, 2021 be signed as a correct record.

11. EXCLUSION OF THE PUBLIC

UNANIMOUSLY RESOLVED, pursuant to the Local Government Act 1972, as amended by the Local Government (Access to Information) (Variation) (Wales) Order 2007, that the public be excluded from the meeting during consideration of the following items as the reports contained exempt information as defined in paragraphs 12 and 13 of Part 4 of Schedule 12A to the Act.

12. INTERNAL AUDIT REPORT - GARREG LWYD RESIDENTIAL UNIT

Following the application of the public interest test it was **RESOLVED** pursuant to the Act referred to in minute no. 11 above not to publicise the content of the report as it contained exempt information relating to particular individuals which is likely to reveal their identity (including the Authority holding that information) (Paragraphs 12 and 13 of Part 4 of Schedule 12A to the Act). The public interest test in respect of this report outweighed the public interest in disclosing the information as disclosure would result in a disproportionate and unfair disclosure of personal data relating to identifiable individuals.

The Committee considered a report detailing the outcome of an Internal Audit review of Garreg Lwyd Residential Unit which had been undertaken to assess the controls and procedures in place in relation to Financial Management.

UNANIMOUSLY RESOLVED that the report be received and an update be provided at the next meeting.

13. INTERNAL AUDIT REPORT - DOMESTIC BOILER SERVICING & REMEDIAL FRAMEWORK

[DURATION OF MEETING

At 1:00 p.m. during consideration of this item, the Committee's attention was drawn to Standing Order 9 'Duration of Meeting' and the fact that the meeting had been underway for 3 hours. It was therefore

RESOLVED to suspend Standing Orders to allow the transaction of the remaining business.]

Following the application of the public interest test it was **RESOLVED** pursuant to the Act referred to in minute no. 11 above not to publicise the content of the report as it contained exempt information relating to particular individuals which is likely to reveal their identity (including the Authority holding that information) (Paragraphs 12 and 13 of Part 4 of Schedule 12A to the Act). The public interest test in respect of this report outweighed the public interest in disclosing the information as disclosure would result in a

disproportionate and unfair disclosure of personal data relating to identifiable individuals.

The Committee considered a report detailing the findings of an Internal Audit review of the Domestic Boiler Servicing & Remedial Framework the overall objective of which was to provide an opinion on the appropriateness of the allocation of work relating to the Domestic Boiler Servicing & Remedial Framework. This followed the receipt of correspondence from a contractor, successfully awarded a place on the Domestic Boiler Servicing & Remedial Framework, who claimed not to have received any work from Carmarthenshire County Council. The purpose of the review had been to establish whether work had been undertaken in the time period within the specification of the framework and whether work had been allocated appropriately.

UNANIMOUSLY RESOLVED that the report be received and an update be provided at the next meeting in regard to the outcome of the claim which had initiated the review.

CHAIR

DATE

Agenda Item 13

By virtue of paragraph(s) 12, 13 of Part 4 of Schedule 12A of the Local Government Act 1972 as amended by the Local Government (Access to Information) (Variation) (Wales) Order 2007.

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