

At: Gadeirydd ac Aelodau'r Pwyllgor  
Archwilio Perfformiad

Dyddiad: 25 Ebrill 2014

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Annwyl Gynghorydd

Fe'ch gwahoddir i fynychu cyfarfod y **PWYLLGOR ARCHWILIO PERFFORMIAD, DYDD IAU, 1 MAI 2014 am 9.30 am yn YSTAFELL BWLLGOR 1A, NEUADD Y SIR, RHUTHUN.**

Yn gywir iawn

G Williams  
Pennaeth Gwasanaethau Cyfreithiol a Democraidaidd

## AGENDA

### RHAN 1 – ESTYNNIR GWAHODDIAD I'R WASG A'R CYHOEDD FYNYCHU RHAN HON Y CYFARFOD

#### 1 YMDDIHEURIADAU

#### 2 DATGAN CYSYLLTIAD

Dylai'r Aelodau ddatgan unrhyw gysylltiadau personol neu gysylltiadau sy'n rhagfarnu yn unrhyw eitem a nodwyd i'w hystyried yn y cyfarfod hwn.

#### 3 MATERION BRYD FEL Y'U CYTUNWYD GAN Y CADEIRYDD

Rhybudd o eitemau y dylid, ym marn y Cadeirydd, eu hystyried yn y cyfarfod fel mater bryd yn unol ag Adran 100B(4) Deddf Llywodraeth Leol 1972.

**4 COFNODION Y CYFARFOD DIWETHAF** (Tudalennau 5 - 12)

Derbyn cofnodion cyfarfod y Pwyllgor Archwilio Perfformiad a gynhaliwyd ar 20 Mawrth 2014 (copi ynghlwm).

**9.30 a.m. – 9.35 a.m.**

**5 ADRODDIAD BLYNYDDOL IECHYD A DIOGELWCH CORFFORAETHOL**  
(Tudalennau 13 - 30)

I dderbyn adroddiad gan yr Uwch Ymgynghorydd Iechyd a Diogelwch Corfforaethol (copi ynghlwm) i ystyried rheolaeth y Cyngor o faterion iechyd a diogelwch cyffredinol a diogelwch tân.

**9.35 a.m. – 10.05 a.m.**

**6 CYNLLUN GWELLA GWASANAETHAU TAI** (Tudalennau 31 - 62)

I dderbyn adroddiad gan y Pennaeth Tai a Datblygu Cymunedol (copi ynghlwm) i archwilio Cynllun Gwella'r Gwasanaethau (gan gynnwys y cynllun cynnal a chadw tai).

**10.05 a.m. – 10.45 a.m.**

~~~~~ **EGWYL (10.45 a.m. – 11.00 a.m.)** ~~~~~

**7 COFRESTR RISG CORFFORAETHOL** (Tudalennau 63 - 82)

I dderbyn adroddiad gan y Swyddog Gwella Corfforaethol (copi ynghlwm) i gyflwyno fersiwn diweddaraf o'r Gofrestr Risg Corfforaethol i'r Pwyllgor Archwilio Perfformiad, fel y cytunwyd yng nghyfarfod Briffio'r Cabinet.

**11.00 a.m. – 11.30 a.m.**

**8 RHAGLEN GWAITH ARCHWILIO** (Tudalennau 83 - 98)

Ystyried adroddiad gan y Cydlynnydd Archwilio (copi ynghlwm) yn gofyn am adolygiad o Raglen Gwaith i'r Dyfodol y Pwyllgor a diweddarau'r Aelodau ar faterion perthnasol.

**11.30 a.m. – 11.50 a.m.**

**9 ADBORTH GAN GYNRYCHIOLWYR PWYLLGORAU**

Derbyn unrhyw ddiweddariad gan gynrychiolwyr y Pwyllgor ar amrywiol Fyrddau a Grwpiau'r Cyngor.

**11.50 a.m. 12.00 hanner dydd.**

## **AELODAETH**

### **Y Cynghorwyr**

Y Cynghorydd David Simmons  
(Cadeirydd)

William Cowie  
Meirick Davies  
Richard Davies  
Colin Hughes

Y Cynghorydd Arwel Roberts (Is-  
Gadeirydd)

Geraint Lloyd-Williams  
Peter Owen  
Dewi Owens  
Gareth Sandilands

### **COPIAU I'R:**

Holl Gynghorwyr er gwybodaeth  
Y Wasg a'r Llyfrgelloedd  
Cynghorau Tref a Chymuned

Mae tudalen hwn yn fwriadol wag

**Cofnodion y Pwyllgor Archwilio Perfformiad a gynhaliwyd ddydd Iau, 20 Mawrth 2014 am 9.30am yn Ystafell Bwyllgora 1a, Neuadd y Sir, Rhuthun**

Cynghorwyr Richard Davies, Colin Hughes, Dewi Owens, Arwel Roberts (Is-gadeirydd), Gareth Sandilands a David Simmons (Cadeirydd)

**Hefyd yn bresennol:**

Prif Weithredwr (MM), Pennaeth Gwasanaethau Oedolion a Busnes (PG), Pennaeth Archwilio Mewnol (IB), Rheolwr Gwasanaeth Datblygu Strategol (GG), Rheolwr Prisio ac Ystadau (DM), Rheolwr Eiddo (DL), Cydlynnydd Archwilio (RhE) a Swyddog Gwasanaethau Democrataidd (KE)

Cynghorydd Raymond Bartley, Cynghorydd Merfyn Parry a'r Cynghorydd Huw Williams

Roedd y Cynghorydd Julian Thompson-Hill, Aelod Arweiniol Cyllid ac Asedau yn bresennol yn y Pwyllgor ar gais y Pwyllgor i drafod eitem fusnes 7.

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## **1 YMDDIHEURIADAU**

Derbyniwyd ymddiheuriadau am absenoldeb gan y Cynghorydd Bill Cowie, Cynghorydd Meirick Lloyd Davies, Cynghorydd Geraint Lloyd-Williams, Cynghorydd Peter Owen ac Aelod Arweiniol Gofal Cymdeithasol - Gwasanaethau Oedolion a Phlant (Cynghorydd Bobby Feeley)

## **2 DATGAN CYSYLLTIAD**

Bu i'r Cynghorydd David Simmons a Dewi Owens ddatgan cysylltiad personol ag eitem 7 ar yr agenda gan eu bod yn aelodau o'r Bwrdd Ystadau Amaethyddol. Hysbyswyd nad oedd gwrthdaro buddiannau gan nad oedd yr eitem hon yn gysylltiedig â gwneud penderfyniad.

## **3 MATERION BRYD FEL Y'U CYTUNWYD GAN Y CADEIRYDD**

Ni chodwyd unrhyw eitemau y dylid, ym marn y Cadeirydd, eu hystyried yn y cyfarfod fel materion brys dan Adran 100B(4) Deddf Llywodraeth Leol 1972.

## **4 COFNODION Y CYFARFOD DIWETHAF**

Cyflwynwyd cofnodion cyfarfod y Pwyllgor Archwilio Perfformiad a gynhaliwyd ddydd Iau, 20 Chwefror, 2014.

Materion yn codi:-

### **Tudalennau 6 - 8, 'Moderneiddio Addysg – Adroddiad Cynnydd':**

- Nid yw'r Cyngor wedi derbyn copi Cymraeg o adroddiad Adolygiad Gateway.
- Aelodau o Fwrdd Moderneiddio Addysg: disgwyl cadarnhad i'r cais i gynrychiolwyr archwilio allu mynychu/gwasanaethu ar y Bwrdd
- Ysgol Plas Brondyffryn: disgwyl canlyniad ymholiadau ynghylch gosod y piler yn y neuadd addysg gorfforol.

**Tudalen 10 - 'Adborth gan Gynrychiolwyr y Pwyllgor:** cyfeiriad at adroddiad Ombwdsmon ar ddileu dyledion Treth y Cyngor. Holwyd swyddogion a dywedwyd nad oedd adroddiad penodol ar y pwnc uchod ond roedd y penderfyniad canlynol wedi ei wneud y llynedd:

#### **"Cadarnhad – Mawrth 2013**

Cwynodd Mr J am y ffordd yr oedd Cyngor Sir Ddinbych ("y Cyngor") wedi rheoli cyfrif treth y cyngor ar gyfer cartref ei ddiweddar fam. Roedd y Cyngor wedi cyflwyno gŵys am beidio â thalu treth y cyngor, i Ysgutorion ei hystâd. Roedd Mr J yn gyd Ysgutor gyda chwmni Cyfreithwyr lleol. Talodd Mr J yr arian a oedd yn ddyledus i'r Cyngor o'i gyfrif personol.

Yn ddiweddarach daeth Mr yn ymwybodol fod preswlydd cofrestredig newydd yr eiddo yn atebol am y taliadau. Ysgrifennodd at y Cyngor yn gofyn am ad-daliad o'r arian yr oedd wedi ei dalu. Ni chafodd cais Mr J ei gydnabod a bu'n rhaid iddo gysylltu â'r Cyngor i gael ymateb. Lleisiodd Mr J bryderon ychwanegol ynglŷn â'r camau a gymerwyd gan y Cyngor yn dilyn ei gais am ad-daliad, gan eu bod wedi gofyn am gydsyniad ei gyd Ysgutor cyn rhoi'r ad-daliad yn ogystal â'r ffordd y teimlai ei fod wedi cael ei drin gan staff y Cyngor. Cafodd Mr J ad-daliad gan y Cyngor tua 4 mis yn ddiweddarach.

Ar ôl ystyried yr holl dystiolaeth a oedd ar gael, daeth yr Ombwdsmon i'r casgliad bod y ffordd yr oedd y Cyngor wedi rheoli'r cyfrif treth y cyngor ar gyfer yr eiddo yn rhesymol ar y cyfan. Fodd bynnag, nododd yr Ombwdsmon nad oedd gwasanaeth y Cyngor yn cyrraedd y safon ofynnol ar gyfer delio â chais ysgrifenedig Mr J am ad-daliad. Hefyd teimlai'r Ombwdsmon y dylai'r Cyngor, o leiaf, fod wedi dweud wrth Mr J am y camau yr oedd yn rhaid eu cymryd i gael cydsyniad ei gyd Ysgutor cyn y gallai roi'r ad-daliad iddo. Cytunodd y Cyngor ag argymhellion yr Ombwdsmon i ymddiheuro i Mr J a thalu £100 iddo am y methiannau a nodwyd a'r amser a'r drafferth a gymerwyd i ddelio â'r gŵyn. Cyfeirnod achos 201201315"

Adroddwyd yr uchod i'r Pwyllgor Llywodraethu Corfforaethol fel rhan o Adroddiad Blynyddol".

***Penderfynwyd*** – yn amodol ar yr uchod, bod y Cofnodion yn cael eu derbyn a'u cymeradwyo fel cofnod cywir.

Cyflwynodd y Cynghorydd B. Feeley ei hymddiheuriadau am fethu â mynychu'r cyfarfod i gyflwyno'r adroddiad.

Cyflwynwyd yr adroddiad gan Bennaeth Gwasanaethau Oedolion a Busnes ac atgoffodd y Pwyllgor o'r gweithdai ar y gyllideb y llynedd lle cynigiwyd arbed £25,000 y flwyddyn ar gostau llety'r Asiantaeth Datblygu Cymunedol. Manylodd ar y camau a oedd yn cael eu cymryd i sicrhau dull arall o ddarparu gwasanaethau ar hyn o bryd gan yr Asiantaeth Datblygu Cymunedol - e.e. gan grwpiau'r trydydd sector.

Lleisiwyd y pryderon canlynol gan y Pwyllgor:

- Mae'r adeiladau presennol yng ngorsaf reilffordd y Rhyl mewn lleoliad canolog ac yn hawdd i unigolion gyrraedd atynt gyda chludiant cyhoeddus. Efallai nad yw mannau eraill fel Canolfan Foryd mor hygyrch.
- Yr effaith bosibl ar swyddi unwaith y bydd y llety wedi dod yn wag a'r Asiantaeth Datblygu Cymunedol yn cau.
- I ba raddau yr oedd ymgynghoriad ar gau'r adeiladau a'r Asiantaeth wedi ei gynnal?

Rhoddodd Rheolwr Gwasanaeth Datblygu Cymunedol sicrwydd i'r Pwyllgor fod adeiladau Canolfan Foryd o fewn 500 llath i'r orsaf ar Princes Street.

Eglurwyd bod 5 aelod o staff wedi bod yn gweithio i'r Asiantaeth Datblygu Cymunedol tan 5 mlynedd yn ôl, a bod y nifer wedi lleihau'n raddol i 2 weithiwr ac y byddai'r Asiantaeth wedi cau pe na bai wedi derbyn arian gan brosiect Taith i Waith. Rhagwelid y byddai'r 2 aelod o staff a oedd yn gweithio ar hyn o bryd yn yr Asiantaeth Datblygu Cymunedol yn cael eu hadleoli i rôl cymorth cymunedol o fewn y Gwasanaeth.

Roedd aelodau eraill o staff wedi eu cyflogi gan y prosiect Taith i Waith. Roeddent wedi eu cyflogi ar gontractau tymor byr gan wybod yn llawn bod eu swyddi yn y dyfodol yn dibynnu ar sicrhau grant pellach.

Roedd y cam o gau'r Asiantaeth wedi ei drafod â'r holl unigolion a oedd yn defnyddio'r ganolfan. Cydnabuwyd nad oedd yr un lefel o drafodaeth wedi digwydd gyda chymunedau ehangach ond roedd Aelodau Etholedig o Brestatyn a'r Rhyl wedi cymryd rhan mewn gweithdy a oedd yn rhoi sylw i'r strategaeth ymadael.

Roedd ymgynghoriad llawn yn cael ei gynnal ar y newidiadau i'r gwasanaeth ac mae Asesiad Effaith Cydraddoldeb ar y gweill. Byddai'r gwasanaeth yn parhau am y 3 mis nesaf tra bod trafodaethau gyda grwpiau trydydd parti'n parhau i geisio chwilio am ddarpariaeth arall.

Cyfeiriodd y Pwyllgor at y ffigyrau a oedd yn dangos y defnydd o'r ganolfan yn ystod cyfnod o 3 mis a gofynnodd am yr ystadegau am y 12 mis blaenorol. Hefyd

gofynnwyd am y ffigyrau i ddangos dadansoddiad o faint o bobl y tu allan i'r Rhyl a oedd yn defnyddio'r ganolfan.

**Penderfynwyd: -**

- (a) *yn amodol ar y sylwadau a wnaed ac ar ddarparu'r wybodaeth angenrheidiol, bod y Pwyllgor yn cymeradwyo'r camau sy'n cael eu cymryd i sicrhau y deuir o hyd i ffyrdd eraill o ddarparu'r gwahanol wasanaethau a ddarperir ar hyn o bryd gan yr Asiantaeth Datblygu Cymunedol ar sail gostyngiad o £25,000 yn eu cyllideb; a*
- (b) *bod adroddiad gwybodaeth yn cael ei baratoi i'r Pwyllgor yn hydref 2014 yn manylu ar y cynnydd a wnaed i sicrhau safle a threfniadau darparu eraill ar gyfer darparu gwasanaethau'r Asiantaeth.*

## **6 TROSOLWG O YMWELIADAU DARPARWYR MEWNOL 2013/14**

Cyflwynodd Pennaeth Gwasanaethau Oedolion a Busnes adroddiad ar gynnydd ymweliadau darparwyr mewnol a'r adborth a dderbyniwyd o ganlyniad i'r ymweliadau. Eglurodd fod aelodau etholedig wedi ymweld â sefydliadau gofal cymdeithasol y Sir ar sail rota ac wedi rhoi adborth i hwyluso'r gwaith o lunio cynllun gweithredu er mwyn rhoi sylw i ddiffygion neu feysydd pryder.

Ar y cyfan roedd yr adborth yn gadarnhaol a cheisiodd y rheolwyr weithredu'r gwelliannau a argymhellwyd yn gyflym, yn arbennig y rhai heb oblygiadau cyllidebol.

Ar y cyfan, dywedwyd bod safonau gofal o ansawdd da iawn a bod unrhyw bryderon a godwyd yn tueddu i ymwneud â materion cynnal adeiladau. Byddai angen trafod unrhyw waith o bwys oedd angen ei wneud gyda'r Adran Gyllid.

Canmolodd y Pwyllgor y gofal a'r gwasanaethau a ddarperid gan yr Awdurdod yn y sefydliadau hyn. Cydnabuwyd bod darparu gofal cymdeithasol preswyl yn gostus ac nad oedd rhai awdurdodau lleol bellach yn darparu gwasanaethau o'r fath. Yn y dyfodol agos mae'n bosibl y bydd yn rhaid i Sir Ddinbych ystyried a all barhau i ddarparu sefydliadau darparu gofal ar yr un lefel. Gofynnodd y Cadeirydd am adroddiad arolwg o gyflwr sefydliadau darparu gofal yr Awdurdod er mwyn pwysu a mesur pa rai a oedd yn addas i'r pwrpas.

Cododd Pennaeth Archwilio Mewnol y mater nad oedd rhai sefydliadau'n cadw'n ddigon caeth at bolisiâu - yn arbennig o ran arwyddo wrth gyrraedd, ymarferion tân a diogelwch - materion sy'n gwella yn dilyn yr ymyrraeth hon.

Hefyd awgrymodd y Prif Weithredwr y dylid edrych ar werth am arian y gwasanaethau mewnol. Nodwyd bod darparu cartrefi preswyl a ddefnyddir gan 70/80 o unigolion yn costio tua £5 million. Pwysleisiodd y Prif Weithredwr nad oedd gan Awdurdodau Lleol eraill y math hwn o ddarpariaeth gan ei fod yn ddewisol yn hytrach na statudol a chwestiynodd a oedd yn fforddiadwy. Yn ei farn ef roedd y rhain yn faterion "o bwys" yr oedd angen edrych arnynt ac awgrymodd fod y



Pwyllgor yn dechrau trafod ffyrdd eraill o gynnal gweithgareddau mewnol presennol.

Awgrymwyd y gellid cymharu â'r sector preifat o ran cost y pen ar gyfer darparu gwasanaeth o'r fath. Mewn ymateb, dywedodd y Cadeirydd fod defnyddio grwpiau tasg a gorffen wedi ei drafod yn y Grŵp Cadeiryddion ac Is-gadeiryddion Archwilio diweddar ac awgrymodd y byddai hwn yn bwnc delfrydol i grŵp tasg a gorffen. Cytunodd i sôn am y cynnig yng nghyfarfod nesaf y Grŵp Cadeiryddion ac Is-gadeiryddion Archwilio.

**Penderfynwyd:** - *nodi'r wybodaeth a ddarparwyd am yr Ymweliadau Darparwyr Mewnol a bod Grŵp Tasg a Gorffen Archwilio yn cael ei sefydlu gyda golwg ar edrych ar opsiynau o ran gwerth am arian wrth ddarparu gwasanaethau gofal cymdeithasol o ansawdd uchel yn y Sir.*

## 7 YSTÂD AMAETHYDDOL

### GWAHARDD Y WASG A'R CYHOEDD

**PENDERFYNWYD** gwahardd y Wasg a'r Cyhoedd o'r cyfarfod dan ddarpariaethau Adran 100A o Ddeddf Llywodraeth Leol 1972, tra ystyrir yr eitemau canlynol ar y rhaglen, oherwydd ei bod yn debygol y bydd gwybodaeth eithriedig yn cael ei datgelu, fel y diffinnir hi ym Mharagraff 12, 13 a 14 Rhan 4 Atodlen 12A o Ddeddf Llywodraeth Leol 1972.

### RHAN II

Rhoddodd Aelod Arweiniol Cyllid ac Asedau drosolwg o'r adroddiad cyfrinachol a ddosbarthwyd yn flaenorol. Pwysleisiodd ei fod yn bwysig gwahaniaethu rhwng y ddau fath o gytundeb tenantiaeth sy'n bodoli ar hyn o bryd.

Mae tenantiaethau o dan Ddeddf Daliadau Amaethyddol 1986 ar gyfer y tenantiaid lle mae cyfrifoldebau cynnal dan ofal yr Awdurdod. Maent yn cael eu hystyried fel tenantiaethau oes; pe bai'r tenant yn rhoi'r gorau i ffermio byddai'r Awdurdod yn atebol am ddarparu llety arall. Mae tenantiaethau a ffurfir o dan Ddeddf Tenantiaethau Fferm 1995 yn cynnig mwy o hyblygrwydd i gysylltu â thenantiaid ac ar y tenant yn hytrach na'r landlord y mae'r baich o drwsio a chynnal.

Mae Gwasanaethau Eiddo wrthi'n ceisio rhyddhau ffermydd sydd i'w gwaredu trwy symud tenantiaid o dan delerau Deddf Tenantiaethau Fferm 1986 i ffermydd eraill lle mae angen llai o waith cynnal / baich ariannol llai. Fodd bynnag dim ond tîm bach sy'n dibynnu ar incwm ffioedd a galwyd arnynt i ddelio â Blaenoriaethau Corfforaethol eraill - e.e. prynu gorfodol yng Ngorllewin y Rhyf ac arolygon o gyflwr safleoedd corfforaeth hyd braich - sy'n gadael dim ond un syrfêwr 0.5 cyfwerth ag amser llawn i weithio ar y materion sydd wedi cronni'n ymwneud ag ystadau amaethyddol.

Lleisiodd y Cynghorydd Hughes bryderon nad yw tai ar ffermydd yn dod o dan ofyniad Safon Ansawdd Tai Cymru, a'u bod efallai'n dadfeilio, yn orlawn ac yn

anaddas i deuluoedd. Awgrymodd y Cynghorydd Hughes y dylid defnyddio derbyniadau cyfalaf yn sgil gwaredu ystadau amaethyddol ar gyfer adnewyddu tai ffermydd.

Mewn ymateb, dywedodd y Cynghorydd Thompson-Hill fod polisi blaenorol o neilltuo derbyniadau cyfalaf ond nad oedd yn sicrhau'r lefel o gronfeydd oedd ei hangen. Mae'r Awdurdod wedi gorfod canolbwyntio ar agweddau iechyd a diogelwch ar ystadau yn hytrach nag adnewyddu.

Cadarnhaodd David Mathews, y Rheolwr Prisio ac Ystadau fod angen cymaint o waith ar rai adeiladau fferm fel y byddai'n fwy cost effeithiol codi rhai newydd yn hytrach na'u trwsio. Yr ateb gorau ar gyfer ffermdai y mae angen gwneud gwaith arnynt, fyddai eu gwaredu. Ystyriai y gallai'r Awdurdod ddal ei afael ar ystâd amaethyddol gweddol fawr ond roedd angen gwneud newidiadau sylweddol.

Cwestiynodd y Cynghorydd Roberts y ffaith nad oedd Syrffwr proffesiynol wedi ei gymhwyso mewn Arfer Gwledig o fewn y Cyngor a'r risg oedd ynghlwm â hyn. Mewn ymateb, dywedodd y Rheolwr Prisio ac Ystadau eu bod yn cael eu cyflogi fel ymgynghorwyr pan fo arian ar gael a phan fo angen - er enghraifft ar gyfer adolygu rhenti.

Gofynnodd y Cynghorydd Roberts am eglurhad ynglŷn â defnyddio adnoddau Cyfreithiol. Cadarnhaodd y Rheolwr Prisio ac Ystadau eu bod fel arfer yn ymgynghori â'r gweithredwyr cyfreithiol mewnol, ond mae Deddf Tenantiaethau Fferm 1995 hefyd yn darparu ar gyfer priswyr / syrfewyr i lunio'r tenantiaethau. Mae'r Rheolwr Prisio ac Ystadau wedi bod yn ymgymryd â'r rôl hon gan fod ganddo flynyddoedd lawer o brofiad ac mae'n deall yr iaith a ddefnyddir.

Yn dilyn cafwyd trafodaeth ynglŷn â sefyllfa bresennol ffermydd y Sir yn cynnwys les tenantiaid, defnydd, rhenti ac opsiynau eraill. Gofynnodd Aelodau a oedd digon o bwyslais ar sicrhau derbyniadau cyfalaf trwy waredu eiddo amaethyddol? Os nad oedd gwaredu'n opsiwn pam fod incwm rhenti yn llawer llai na'r disgwyl yn y sector preifat?

Roedd Dave Lorey, y Rheolwr Eiddo yn cyfaddef bod angen i'r strategaeth ar gyfer ystadau amaethyddol gael ei hadolygu yn ogystal â chylch gorchwyl y Bwrdd Ystadau Amaethyddol.

**Penderfynwyd: -**

*(a) galw cyfarfod ar frys o'r Gweithgor Ystâd Amaethyddol gyda golwg ar lunio gweledigaeth hirdymor glir ar gyfer Ystâd Amaethyddol y Cyngor a datblygu strategaeth gadarn i gyflawni'r weledigaeth. Dylai'r Gweithgor adolygu ei Gylch Gorchwyl, cyfarfod yn rheolaidd a chynnal arolwg o gyflwr yr holl ddaliadau er mwyn cyflawni'r weledigaeth; a*

*(b) chyflwyno adroddiad i'r Pwyllgor yn ei gyfarfod ar 12 Mehefin 2014 yn amlinellu'r cynnydd hyd yma o ran datblygu'r pwyntiau uchod.*

## 8 RHAGLEN GWAITH ARCHWILIO

Aeth y cyfarfod yn ei flaen fel sesiwn agored i drafod gweddill y busnes.

### RHAN I

Roedd copi o adroddiad gan y Cydlynnydd Archwilio, a oedd yn gofyn i'r Pwyllgor adolygu a chytuno ar ei Raglen Gwaith i'r Dyfodol ac yn diweddarau materion perthnasol, wedi ei ddsbarthu gyda'r papurau ar gyfer y cyfarfod.

Ystyriodd y Pwyllgor ffurf drafft ei Raglen Gwaith i'r Dyfodol ar gyfer cyfarfodydd y dyfodol, fel y manylir yn Atodiad 1, a chytunwyd ar y newidiadau a'r ychwanegiadau canlynol ar gyfer y cyfarfodydd canlynol:-

- a) Dylai'r adroddiad gwybodaeth ar gyflwr ysgolion y Sir fod ar gael yng nghyfarfod fis Mai o'r Pwyllgor.
- b) Dylid cynnwys Adroddiad Blynyddol Drafft y Cyfarwyddwr Gwasanaethau Cymdeithasol 2013/14 ar y rhaglen waith ar gyfer rhaglen gwaith i'r dyfodol y Pwyllgor yn ei gyfarfod ar 17 Gorffennaf.
- c) Yr wybodaeth ddiweddaraf am faterion yr Ystâd Amaethyddol i'w cyflwyno yn y cyfarfod ar 12 Mehefin.
- d) Bydd Darparu Teledu Cylch Caeedig (TCC) a Gwasanaethau y Tu Allan i Oriau yn cael ei ddwyn ymlaen i agenda 17 Gorffennaf.

***Penderfynwyd*** – yn amodol ar y newidiadau uchod, ac ar gytuno arnynt, bod y Rhaglen Waith fel yr amlinellir yn Atodiad 1 i'r adroddiad yn cael ei chymeradwyo.

## 9 ADBORTH GAN GYNRYCHIOLWYR PWYLLGOR

Dywedodd y Cynghorydd D. Owens wrth y Pwyllgor ei fod ef a'r Cynghorydd P.W. Owen wedi ymweld yn ddiweddar â'r Adran Refeniw a Budd-daliadau yn y Rhyl. Dywedodd wrth y Pwyllgor fod problemau enfawr yn cael eu hachosi gan y taliad Credyd Cynhwysol newydd sy'n cael ei gyflwyno.

Roeddent hefyd wedi ymweld â staff yn Theatr Pafiliwn y Rhyl ac wedi cael argraff dda gan yr ethos gwaith tîm a amlygwyd gan y staff. Awgrymodd y dylid tynnu sylw at y tîm fel enghraifft dda i adrannau eraill. Cynigiodd y Cynghorydd A. Roberts eu bod yn anfon llythyr o gydnabyddiaeth at y staff yn y Theatr ac yn yr Adran Refeniw a Budd-daliadau yn cydnabod eu hymrwymiad.

Dywedodd y Cynghorydd A Roberts ei fod wedi bod yng nghyfarfodydd y Grŵp Monitro Safonau Ysgolion yn ddiweddar, lle edrychwyd yn fanwl ar berfformiad dwy ysgol.

Diweddarodd y Cyngorydd R. Davies y Pwyllgor ynglŷn â'r cynlluniau i gladio piler yng nghanol yr ystafell fwyta/neuadd chwaraeon yn Ysgol Plas Brondyffryn (YPBD) i leihau'r perygl o gael anafiadau wrth daro i mewn iddo. Hefyd tynnodd sylw at y mater fod plant o YPBD yn gorfod teithio i'r Rhyl i gael sesiynau nofio. Gofynnodd am esboniad ynghylch a yw'r pwll yng Nghanolfan Hamdden Dinbych ar gyfer defnydd Ysgol Uwchradd Dinbych yn unig.

**Penderfynwyd** – *derbyn a nodi'r adroddiadau.*

|                                 |                                               |
|---------------------------------|-----------------------------------------------|
| <b>Adroddiad i'r:</b>           | <b>Pwyllgor Archwilio Perfformiad</b>         |
| <b>Dyddiad y Cyfarfod:</b>      | <b>1 Mai 2014</b>                             |
| <b>Aelod/Swyddog Arweiniol:</b> | <b>Julian Thompson Hill / Hywyn Williams</b>  |
| <b>Awdur yr Adroddiad:</b>      | <b>Gerry Lapington</b>                        |
| <b>Teitl:</b>                   | <b>Adroddiad Blynyddol Iechyd a Diogelwch</b> |

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## **1. Am beth mae'r adroddiad yn sôn?**

Mae'r adroddiad hwn yn rhoi'r wybodaeth ddiweddaraf am reoli lechyd a Diogelwch o fewn Cyngor Sir Ddinbych fel y gwelir o safbwynt y tîm Iechyd a Diogelwch Corfforaethol.

## **2. Beth yw'r rheswm dros lunio'r adroddiad hwn?**

I ddarparu gwybodaeth ynglŷn â'r diweddariad blynyddol ar reoli lechyd a Diogelwch o fewn Cyngor Sir Ddinbych.

## **3. Beth yw'r Argymhellion?**

Fe ddylai'r pwyllgor adolygu'r adroddiad a gwneud sylwadau ar weithgareddau a sylwadau'r tîm Iechyd a Diogelwch Corfforaethol.

## **4. Manylion am yr Adroddiad**

### **4.1 Crynodeb**

4.1.1 Yn ystod y flwyddyn ddiwethaf rydym ni wedi gweld rhai newidiadau cadarnhaol yn y diwylliant diogelwch o fewn Cyngor Sir Ddinbych. Mae hyn wedi bod yn arbennig o amlwg ym meysydd y gwasanaethau cymdeithasol lle rydym ni wedi derbyn llawer o geisiadau am hyfforddiant, cefnogaeth a chyngor. Yn ogystal â hyn mae newid go iawn wedi digwydd o fewn Priffyrdd, yn bennaf oherwydd y farwolaeth yng Nghonwy ym mis Medi 2013 a'r ymchwiliad cysylltiedig gan yr Awdurdod Gweithredol Iechyd a Diogelwch (HSE).

4.1.2 Mae newid sylweddol wedi bod o ran hyfforddiant a monitro gweithle, ac mae hyn yn ei dro wedi gwneud y tîm Iechyd a Diogelwch Corfforaethol yn fwy gweladwy ac yn haws i bobl fynd atynt. Un o'r tasgau anodd oedd argyhoeddi pobl ein bod ni yno i'w helpu ac ein bod yn ymgynghorwyr ac yn hwyluswyr, nid rheoleiddwyr.

4.1.3 Yn gyffredinol, mae'r HSE yn ystyried Cyngor Sir Ddinbych fel Cyngor sydd â diwylliant diogelwch cadarnhaol sy'n datblygu ac ar rai achlysuron mae ein gwaith wedi ei ystyried fel arfer da e.e. ein methodoleg Arweinyddiaeth Gref, ein proses rheoli asbestos mewn tai a'n prosesau rheoli dŵr agored. Er yr holl bethau da, mae'n rhaid i ni barhau i ganolbwyntio ar ddatblygu diwylliant diogelwch cadarnhaol a darparu offer i helpu rheolwyr i gyflawni eu dyletswyddau statudol a sicrhau bod pawb yn ddiogel yn y gwaith.

4.1.4 Rydym ni hefyd yn parhau i ymateb i ddigwyddiadau a cheisiadau am gymorth. Mae hon yn elfen bwysig o'r hyn a wnawn ond mae hefyd yn dreth gyson ar ein hadnoddau.

4.1.5 Er ein bod wedi gweld gwelliannau sylweddol o ran rheoli lechyd a Diogelwch, rydym ni yn parhau i ddod o hyd i wendidau mewn systemau rheoli lleol. Mae'n rhaid i ni barhau i ddatblygu a chefnogi'r broses i wella rheoli lechyd a Diogelwch.

#### **4.2 Cefndir**

4.2.1 Yn 2011 rhoddodd yr HSE dasg i chwe Awdurdod Lleol Gogledd Cymru i wella eu systemau rheoli lechyd a Diogelwch drwy broses a elwir yn "Arweinyddiaeth Gref". Roedd y broses hon yn sicrhau bod yr Awdurdodau yn cydymffurfio â rheoliad 5 o Reoliadau Rheoli lechyd a Diogelwch yn y Gwaith (MHSWR) sy'n ei gwneud yn ofynnol i bob cyflogwr wneud a rhoi trefniadau o'r fath ar waith fel y bo'n briodol, gan ystyried natur a maint ei weithgareddau, ar gyfer cynllunio, trefnu, rheoli, monitro ac adolygu mesurau ataliol ac amddiffynnol.

4.2.2 Bu i Gyngor Sir Ddinbych gynllunio, datblygu a gweithredu proses i fodloni gofynion y rheoliad penodol yma. Mae adborth yr HSE ar ein methodoleg a'n prosesau wedi bod yn gadarnhaol ac mae ein trefnau wedi eu rhannu gydag Awdurdodau Lleol eraill gogledd Cymru.

4.2.3 Dechreuodd proses Cyngor Sir Ddinbych gyda dadansoddiad perygl a bwllch o'r risgiau lechyd a Diogelwch ar lefel gorfforaethol, gwasanaeth, ysgol a lefel tîm. Defnyddiwyd gwybodaeth o'r dadansoddiad i ddatblygu dull newydd o weithio ar gyfer y tîm lechyd a Diogelwch Corfforaethol, dull sy'n cefnogi rheolwyr atebol a thimau yn well a dull sy'n cefnogi diwylliant lechyd a Diogelwch gadarnhaol ar draws Cyngor Sir Ddinbych. Mae Atodiad 1 yn dangos enghraifft o ddadansoddiad perygl a bwllch.

4.2.4 O ganlyniad i'r dadansoddiad rydym ni wedi creu tudalen we lechyd a Diogelwch, datblygu rhaglen hyfforddiant mewnol lechyd a Diogelwch ac wedi gwneud ein hunain yn fwy gweladwy trwy ymgymryd â gweithgareddau monitro a chynnal ymweliadau safle.

4.2.5 Mae'r wybodaeth a gasglwyd yn sgil y dadansoddiad perygl a bwllch wedi galluogi'r tîm lechyd a Diogelwch Corfforaethol i gynllunio rhywfaint o'i lwyth gwaith. Mae Atodiad 2 yn cynnwys rhaglen gwaith i'r dyfodol a rhaglen hyfforddiant y tîm ar gyfer 2014.

#### **4.3 Hyfforddiant 2013 \ 2014**

4.3.1 Cyn 2013 prynwyd y rhan fwyaf o hyfforddiant lechyd a Diogelwch gan asiantaethau eraill. Er bod hyfforddiant proffesiynol fel arfer yn cynnwys achrediad a gydnabyddir yn genedlaethol, mae'n gostus (tua £950 y dydd) ac yn tueddu i fod yn gyffredinol. Mae aelodau o'r tîm lechyd a Diogelwch Corfforaethol ar yr un lefel broffesiynol â darparwyr hyfforddiant allanol ac felly rydym ni bellach yn darparu'r rhan fwyaf o'r hyfforddiant yn defnyddio ein hadnoddau ein hunain. Mae'r newid hwn wedi ein galluogi i wneud yr hyfforddiant yn benodol i'r Cyngor a'i dimau yn ogystal ag arbed arian. Yr unig broblem gyda'r dull hwn yw nad yw'r hyfforddiant wedi ei gydnabod yn genedlaethol; fodd bynnag, rydym ni'n alinio'r hyfforddiant i gyd-fynd â safonau cydnabyddedig ac yn cynnwys logo Cyngor Sir Ddinbych ar ein tystysgrifau.

4.3.2 Mae cryn dipyn o gyngor a hyfforddiant gyrru yn cael ei roi gan ein Ymgynghorydd Risg Ffordd. Mae'r hyfforddiant yma'n canolbwyntio ar yrwyr cerbydau fflyd, fodd bynnag cynigir cymorth yn ôl yr angen.

4.3.3 Enghreifftiau o gyrsiau a ddarperir yn fewnol:

- Rheoli diogel yng Nghyngor Sir Ddinbych. Cwrs deuddydd ar gyfer rheolwyr, goruchwylwyr a staff
- Ymwybyddiaeth lechyd a Diogelwch. Egwyddorion ac arferion rheoli diogelwch ar gyfer gweithwyr
- Asesu risg. Cwrs undydd ymarferol ar gyfer gweithwyr
- Tystysgrif Cymhwysedd Proffesiynol i Yrwyrr ar gyfer gyrwyr proffesiynol
- Ymwybyddiaeth o ddiogelwch tân. Cwrs ar gyfer rheolwyr adeiladu, rheolwyr safle ysgol
- Codi a Symud yn Gorfforol. Cwrs byr 2 awr ar gyfer gweithwyr
- Cyflwyniad Corfforaethol. Fel rhan o'r broses sefydlu gorfforaethol
- Rheoli diogelwch mewn cartref gofal.
- Sylweddau peryglus, lleoedd cyfyng, diogelwch adeiladu, cyrsiau byr

#### **4.4 Monitro**

4.4.1 Mae Rheoliad 5 o MHSWR yn ei gwneud yn ofynnol i sefydliadau fonitro sut mae lechyd a Diogelwch yn cael ei reoli mewn gwirionedd. Isod ceir rhai enghreifftiau o weithgareddau monitro sydd wedi eu cynnal gan y tîm lechyd a Diogelwch Corfforaethol yn ystod 2013 \ 2014 yn seiliedig ar flaenoriaethau a nodwyd yn sgil y dadansoddiad:

- Cartrefi gofal annibynnol i gefnogi Gwasanaethau Oedolion a Busnes
- Canolfannau gorffwys brys i gefnogi'r uned cynllunio rhag argyfwng ar y cyd.
- Rheoli bacteriwm clefyd y lleng filwyr mewn systemau dŵr tai cymdeithasol
- "Rheolaeth bacteriwm clefyd y lleng filwyr mewn systemau dŵr" gan y Gwasanaethau Eiddo
- Rheoli cryptosporidiwm mewn pyllau nofio Cyngor Sir Ddinbych.
- Trefniadau diogelwch cyffredinol Gofal lechyd Cefndy
- Rheoli asbestos mewn tai sy'n cael eu hadnewyddu. Mae'r ardal hon yn cael ei arolygu yn ddiweddarach gan yr HSE a ddarparodd adborth cadarnhaol iawn.
- Rheoli diogelwch dŵr agored (yn dilyn marwolaeth yn Sir y Fflint). Unwaith eto fe dderbyniodd Cyngor Sir Ddinbych adborth cadarnhaol gan yr HSE
- Systemau gweithwyr sy'n gweithio ar eu pen eu hunain yn y Gwasanaethau Cymdeithasol. Un o ganfyddiadau sylweddol y dadansoddiad peryglon a bylchau oedd bod angen rheolaethau cadarnach ar gyfer rheoli gweithwyr sy'n gweithio ar eu pen eu hunain ar lefel tîm. Mae hyn wedi arwain at adolygu "Canllawiau a Gweithdrefnau" Gweithwyr sy'n Gweithio ar eu pen eu hunain y Gwasanaethau Cymdeithasol.

4.4.2 Mae monitro ar y lefel gorfforaethol yn un elfen o'r broses fonitro. Cynghorir uwch reolwyr a rheolwyr atebol i barhau i fonitro gweithgareddau dan eu rheolaeth.

#### **4.5 Diogelwch Tân**

Mae gan Gyngor Sir Ddinbych dîm rheoli diogelwch tân mewnol sy'n cynnal asesiadau risg tân (Awdurdodau Tân ac Achub) ar holl gyfleusterau Cyngor Sir Ddinbych. Mae rhaglen hyblyg o adolygiadau Awdurdod Tan ac Achub yn ei lle. Mae hyblygrwydd y rhaglen yn ein galluogi ni i ymateb yn adweithiol i geisiadau gan y rheoleiddiwr neu ffynonellau eraill. Mae adborth y Gwasanaeth Tân, sef y rheoleiddiwr, yn parhau i fod yn gadarnhaol.

#### **4.6 Yr Awdurdod Gweithredol lechyd a Diogelwch (HSE)**

4.6.1 Rydym ni'n cysylltu'n rheolaidd gydag arolygwyr yr HSE. Er bod yr HSE wedi rhoi adborth cadarnhaol i ni ar nifer o achlysuron mae'n rhaid i ni beidio â bod yn hunanfodlon. Gallai un methiant ddadwneud yr holl waith da.

4.6.2 Dylid nodi bod yr HSE bellach yn gweithredu proses "ffi ar gyfer ymyrraeth". Os ceir achos o dorri'r ddeddfwriaeth lechyd a Diogelwch codir tâl ar y sefydliad tramgwyddus. Y gost yw £124 yr awr.

#### **4.7 Cofrestr Amddiffyn Staff**

Mae hon yn broses sy'n tynnu sylw at unigolion neu gyfeiriadau ble'r ystyrir bod bygythiad lechyd a Diogelwch sylweddol i weithwyr Cyngor Sir Ddinbych. Mae'r Gofrestr Amddiffyn Staff wedi ei gosod ar systemau Cyngor Sir Ddinbych a bydd ar gael cyn bo hir ar y fewnwyd. Mae'r system newydd a'r broses gysylltiol yn cysymffurfio â deddfwriaeth diogelu data.

#### **4.8 Rhoi Gwybod am Ddamweiniau / Digwyddiadau**

4.8.1 Gellir mynd at y ffurflen rhoi gwybod am ddamweiniau a digwyddiadau ar y fewnwyd. Mae'r broses yn cael ei rheoli gan y tîm lechyd a Diogelwch Corfforaethol, ac mae'r holl ddata yn cael ei gadw yn electronig ar y system EDRMS.

- Mae ein gallu o ran adrodd ystadegau cyfredol yn wan. Mae CIVICA ers peth amser bellach wedi bod yn gweithio gyda TGCh i ddatblygu ein gallu i wneud hyn. Mae'r ystadegau o ran damweiniau ar gyfer y cyfnod rhwng mis Ebrill 2013 a mis Mawrth 2014 ar gael yn Atodiad 3

#### **4.9 Ysgolion**

4.9.1 Mae statws anarferol ysgolion o ran lechyd a Diogelwch yn peri risg anghymesur i Gyngor Sir Ddinbych o ystyried lefel y risg. Mae ysgolion yn gallu defnyddio eu strwythurau rheoli o bell a chyllidebau dirprwyedig mewn ffordd sy'n lleihau dylanwad canolog. Rydym ni'n ceisio lliniaru'r risgiau i bobl mewn ysgolion ac i Gyngor Sir Ddinbych ar lefel gorfforaethol drwy ddarparu ystod o gyrsiau hyfforddi, dogfennau arweiniad, cefnogaeth bersonol ac ymweliadau safle. E.e. bu i ni gynnal rhaglen hyfforddiant ymwybyddiaeth lechyd a Diogelwch yn ddiweddar ar gyfer staff arlwyo.

4.9.2 Mae'r tîm yn gweithio'n agos gyda'r rheolwyr busnes ar gyfer y clystyrau ac rydym ni'n ymchwilio i unrhyw ddigwyddiad lefel RIDDOR (Rheoliadau Adrodd ar Anafiadau, Clefydau a Digwyddiadau Peryglus) a gofnodwyd gan ysgolion.

#### **4.10 Strwythur Tîm lechyd a Diogelwch Corfforaethol**

Yn ystod y flwyddyn ddiwethaf, mae strwythur y tîm lechyd a Diogelwch Corfforaethol wedi ei adolygu a'i addasu. Y prif resymau dros y newidiadau yw darparu arbedion a chyfleoedd datblygu ac i'n helpu ni gadw staff a chynnig gwasanaeth proffesiynol. Mae hyn wedi ei gyflawni er nad yw'r prosesau Adnoddau Dynol ffurfiol wedi eu cwblhau eto.

### **5 Sut mae'r penderfyniad yn cyfrannu at y Blaenoriaethau Corfforaethol?**

Mae'r wybodaeth yn cyfrannu at ddealltwriaeth y cyngor o'r trefniadau sydd ar waith ar gyfer rheoli lechyd a Diogelwch.

### **6 Faint fydd yn ei gostio a sut bydd yn effeithio ar wasanaethau eraill?**

Nid oes costau ychwanegol wedi eu canfod. Mae'r tîm lechyd a Diogelwch Corfforaethol yn cefnogi holl wasanaethau Cyngor Sir Ddinbych.

### **7 Beth yw prif gasgliadau'r Asesiad o Effaith ar Gydraddoldeb a gynhaliwyd am y penderfyniad?**



Mae'r adroddiad hwn yn darparu'r wybodaeth ddiweddaraf o ran y gweithgareddau presennol ac nid yw'n cael effaith andwyol ar gydraddoldeb.

### **8 Pa ymgynghori a wnaed gyda'r Pwyllgorau Archwilio ac eraill?**

Ymgynghorwyd ag Aelod Arweiniol Iechyd a Diogelwch, Swyddog Arweiniol Iechyd a Diogelwch a Phennaeth y Gwasanaeth.

### **9 Datganiad y Prif Swyddog Cyllid**

Mae hwn yn adroddiad diweddarau ac felly nid oes effaith ariannol uniongyrchol.

### **10 Pa risgiau sy'n bodoli ac a oes unrhyw beth y gallwn ei wneud i'w lleihau?**

Mae'r adroddiad yn dangos cynnydd y Cyngor o ran lleihau risgiau Iechyd a Diogelwch.

### **11 Pŵer i wneud y Penderfyniad**

Mae Adran 2 o Ddeddf Iechyd a Diogelwch yn y Gwaith 1974 yn ei gwneud yn ofynnol i ni rannu gwybodaeth yn ymwneud ag Iechyd a Diogelwch ac i adolygu mesurau Iechyd a Diogelwch.

Mae tudalen hwn yn fwriadol wag

## Appendix 1

### Showing how the strong leadership methodology is being used to drive improvements

An example of an initial (2012) hazard analysis from the Reablers team in Social Services (local perception of their position)

- Column “A” lists the locally identified hazards associated with the work that the team does.
- The red cells in column “D” indicate a local recognition that there is a significant lack of systems in place for the identified hazard
- The red cells in Column “C” indicate a the local perception of where there is a significant level of risk of injury
- The red cells in column “B” indicate where there is a locally perceived high risk of enforcement action if the regulators become involved

| Column A                                   | B                                   | C              | D                    |
|--------------------------------------------|-------------------------------------|----------------|----------------------|
| Hazard identification and RAG analysis     |                                     |                |                      |
|                                            | For target condition - hover in box |                |                      |
| List of identified hazards                 | Exposure to enforcement action      | Risk of injury | DCC systems in place |
| Moving & Handling of people                | Yellow                              | Yellow         | Yellow               |
| Lone Working                               | Yellow                              | Red            | Yellow               |
| Stress                                     | Yellow                              | Yellow         | Green                |
| Personal Protective Equipment              | Green                               | Green          | Green                |
| Slips, Trips and Falls                     | Green                               | Yellow         | Yellow               |
| Aggressive or Unpredictable Behaviours     | Green                               | Yellow         | Green                |
| Hazardous waste - clinical/medical/general | Green                               | Yellow         | Green                |
| Food Preparation                           | Green                               | Green          | Green                |
| Animals / Pets                             | Green                               | Yellow         | Green                |
| Medication                                 | Green                               | Green          | Green                |
| Room Temperatures                          | Green                               | Yellow         | Green                |
| Enviroment                                 | Yellow                              | Yellow         | Yellow               |
| Weather                                    | Green                               | Yellow         | Green                |
| Hoists                                     | Yellow                              | Yellow         | Yellow               |
| Display Screen Equipment                   | Green                               | Green          | Green                |
| Fire                                       | Yellow                              | Yellow         | Yellow               |
| Infection Control                          | Green                               | Yellow         | Green                |
| Driving                                    | Yellow                              | Red            | Yellow               |
| Locations                                  | Green                               | Yellow         | Green                |
| Manual Handing of objects                  | Yellow                              | Yellow         | Yellow               |
| Smoking                                    | Green                               | Green          | Green                |
| Telecommunications "black spots"           | Yellow                              | Red            | Red                  |

## The same hazard analysis in late 2013 from the Reablers team

- This updated example shows how safety management systems have been improved. (This is the local perception of their position)
- A large amount of H&S awareness and risk assessment training has taken place with managers and staff
- The main focus in Social Services areas has been on general H&S compliance and lone worker safety
- Manual handling of objects training is part of the CH&S team training portfolio. Social Services have a moving and handling of people trainer
- However good our systems are, there will always be a residual risk associated with our activities.

| Hazard identification and RAG analysis     |                                     |                |                      |
|--------------------------------------------|-------------------------------------|----------------|----------------------|
| List of identified hazards                 | For target condition - hover in box |                |                      |
|                                            | Exposure to enforcement action      | Risk of injury | DCC systems in place |
| Moving & Handling of people                | Green                               | Yellow         | Green                |
| Lone Working                               | Yellow                              | Yellow         | Green                |
| Stress                                     | Green                               | Yellow         | Green                |
| Personal Protective Equipment              | Green                               | Green          | Green                |
| Slips, Trips and Falls                     | Green                               | Yellow         | Green                |
| Aggressive or Unpredictable Behaviours     | Green                               | Yellow         | Green                |
| Hazardous waste - clinical/medical/general | Green                               | Yellow         | Green                |
| Food Preparation                           | Green                               | Green          | Green                |
| Animals / Pets                             | Green                               | Yellow         | Green                |
| Medication                                 | Green                               | Green          | Green                |
| Room Temperatures                          | Green                               | Green          | Green                |
| Environment                                | Green                               | Yellow         | Green                |
| Weather                                    | Green                               | Green          | Green                |
| Hoists                                     | Yellow                              | Yellow         | Yellow               |
| Display Screen Equipment                   | Green                               | Green          | Green                |
| Fire                                       | Green                               | Yellow         | Green                |
| Infection Control                          | Green                               | Yellow         | Green                |
| Driving                                    | Yellow                              | Yellow         | Yellow               |
| Locations                                  | Green                               | Yellow         | Green                |
| Manual Handling of objects                 | Green                               | Yellow         | Green                |
| Smoking                                    | Green                               | Green          | Green                |
| Telecommunications "black spots"           | Yellow                              | Yellow         | Green                |

## Initial GAP analysis (2012) for the same team

|    | Self assessment questionnaire - GAP analysis                                                                         | RAG   |
|----|----------------------------------------------------------------------------------------------------------------------|-------|
|    | Section \ operational level - standard questions                                                                     |       |
| 1  | Is the relevant H&S policy statement readily available for your team to read?                                        | Green |
| 2  | Do team members know where they can see a copy of the policy?                                                        | Green |
| 3  | Are there risk assessments for the tasks \ activities that you and your team do?                                     | Red   |
| 4  | Were you or your colleagues and operatives involved in their development?                                            | Red   |
| 5  | Are there SSoW for the work that you do?                                                                             | Green |
| 6  | Were you or your colleagues involved in their development?                                                           | Red   |
| 7  | Do you and the team work the way described in the SSoW?                                                              | Green |
| 8  | Do you and team members know where to find H&S guidance on any specific subject? (Documentation or competent advice) | Red   |
| 9  | Are all of the specific areas of H&S legislation related to your work covered in your risk assessments and SSoW?     | Red   |
| 10 | Have you and your team been trained to carry out your work activities?                                               | Green |
| 11 | Is there a current training record?                                                                                  | Green |
| 12 | Is the way the team works ever assessed \ checked? (supervised \ monitored)                                          | Green |
| 13 | Are your risk assessments, SSoW, competence requirements reviewed and recorded on a regular basis?                   | Green |
| 14 | Are there any consequences for not following your working procedures?                                                | Green |
| 15 | Is PPE \ RPE that you need provided?                                                                                 | Green |
| 16 | Where PPE \ RPE is provided is it always used?                                                                       | Green |
| 17 | Is the PPE \ RPE provided for free and replaced whenever needed? (E.g. damage or change in conditions)               | Green |
| 18 | Do you know where to get first aid assistance if you need it?                                                        | Red   |
| 19 | Is there someone to go to if you or the team are in doubt, need support or think something is wrong?                 | Green |
| 20 | Are there any routines carried out by your team? (workplace checklists, vehicle checks, equipment checks etc)        | Green |
| 21 | Is there a copy of the HSE's Health and Safety Poster displayed in the workplace?                                    | Green |
| 22 | Is there a copy of the current employers liability insurance certificate displayed in the workplace?                 | Green |

Date of assessment 15.06.2012

Area \ function assessed

Local contact(s)

Assessed by

Ruthin County Hall Social Services

Sophie Cawdry and Chris Robinson

**GAP analysis late 2013 for the same team**

| Self assessment questionnaire - GAP analysis                                                                         | RAG    |
|----------------------------------------------------------------------------------------------------------------------|--------|
| <b>Section \ operational level - standard questions</b>                                                              |        |
| Is the relevant H&S policy statement readily available for your team to read?                                        | Green  |
| Do team members know where they can see a copy of the policy?                                                        | Green  |
| Are there risk assessments for the tasks \ activities that you and your team do?                                     | Yellow |
| Were you or your colleagues and operatives involved in their development?                                            | Green  |
| Are there SSoW for the work that you do?                                                                             | Green  |
| Were you or your colleagues involved in their development?                                                           | Yellow |
| Do you and the team work the way described in the SSoW?                                                              | Green  |
| Do you and team members know where to find H&S guidance on any specific subject? (Documentation or competent advice) | Green  |
| Are all of the specific areas of H&S legislation related to your work covered in your risk assessments and SSoW?     | Yellow |
| Have you and your team been trained to carry out your work activities?                                               | Green  |
| Is there a current training record?                                                                                  | Green  |
| Is the way the team works ever assessed \ checked? (supervised \ monitored)                                          | Green  |
| Are your risk assessments, SSoW, competence requirements reviewed and recorded on a regular basis?                   | Green  |
| Are there any consequences for not following your working procedures?                                                | Green  |
| Is PPE \ RPE that you need provided?                                                                                 | Green  |
| Where PPE \ RPE is provided is it always used?                                                                       | Green  |
| Is the PPE \ RPE provided for free and replaced whenever needed? (E.g. damage or change in conditions)               | Green  |
| Do you know where to get first aid assistance if you need it?                                                        | Green  |
| Is there someone to go to if you or the team are in doubt, need support or think something is wrong?                 | Green  |
| Are there any routines carried out by your team? (workplace checklists, vehicle checks, equipment checks etc)        | Yellow |
| Is there a copy of the HSE's Health and Safety Poster displayed in the workplace?                                    | Green  |
| Is there a copy of the current employers liability insurance certificate displayed in the workplace?                 | Green  |

Date of assessment November 2013

Area \ function assessee

Local contact(s)

Assessed by

Ruthin Cour

## Appendix 2

### CH&S forward work plan for 2014 into 2015

|  |                                   |
|--|-----------------------------------|
|  | All team                          |
|  | All with Richard and Alan as lead |
|  | All with James as lead            |
|  | Gerry, Steve, intranet team       |
|  | Dave                              |
|  | Dave lead with all team support   |
|  | Vince, Rich, James                |

|  |                          |
|--|--------------------------|
|  | Gerry, Alan Beverley     |
|  | Gerry, Alan housing team |
|  | Rich, James              |
|  | Gerry                    |
|  | Gerry, Rich, SS OT's     |
|  | Jas, Rich, James         |
|  | Jas                      |

|                                    |
|------------------------------------|
| <b>Committees (quarterly)</b>      |
| CH&S (maximum representation)      |
| SSH&S (Gerry or Rich)              |
| Env group Jas or James)            |
| Office group (Dave or ?)           |
| Education and SSG (Gerry or James) |
| Planning and PP (any)              |

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|                                                | Jan 2014                           | Feb 2014 | Mar 2014 | Apr 2014                           | May 2014 | Jun 2014 | Jul 2014                           | Aug 2014 | Sep 2014 | Oct 2014                           | Nov 2014 | Dec 2014 | Jan 2015 | Feb 2015 | Mar 2015 |
|------------------------------------------------|------------------------------------|----------|----------|------------------------------------|----------|----------|------------------------------------|----------|----------|------------------------------------|----------|----------|----------|----------|----------|
| <b>Office based</b>                            |                                    |          |          |                                    |          |          |                                    |          |          |                                    |          |          |          |          |          |
| Reactive work - daily activity                 |                                    |          |          |                                    |          |          |                                    |          |          |                                    |          |          |          |          |          |
| A/I reviews and responses - daily activity     |                                    |          |          |                                    |          |          |                                    |          |          |                                    |          |          |          |          |          |
| Development of CIVICA                          |                                    |          |          |                                    |          |          |                                    |          |          |                                    |          |          |          |          |          |
| Review intranet based guidance                 |                                    |          |          |                                    |          |          |                                    |          |          |                                    |          |          |          |          |          |
| Review school H&S manual                       |                                    |          |          |                                    |          |          |                                    |          |          |                                    |          |          |          |          |          |
| <b>Develop new guidance</b>                    |                                    |          |          |                                    |          |          |                                    |          |          |                                    |          |          |          |          |          |
| Handling and moving of people                  |                                    |          |          |                                    |          |          |                                    |          |          |                                    |          |          |          |          |          |
| <b>Fire</b>                                    |                                    |          |          |                                    |          |          |                                    |          |          |                                    |          |          |          |          |          |
| Develop and implement fire management system   |                                    |          |          |                                    |          |          |                                    |          |          |                                    |          |          |          |          |          |
| FRA review program \ system monitoring         |                                    |          |          |                                    |          |          |                                    |          |          |                                    |          |          |          |          |          |
| <b>H&amp;S</b>                                 |                                    |          |          |                                    |          |          |                                    |          |          |                                    |          |          |          |          |          |
| Review Corporate Asbestos management plan      |                                    |          |          |                                    |          |          |                                    |          |          |                                    |          |          |          |          |          |
| Review housing asbestos mgmt plan              |                                    |          |          |                                    |          |          |                                    |          |          |                                    |          |          |          |          |          |
| Review property asbestos mgmt plan             |                                    |          |          |                                    |          |          |                                    |          |          |                                    |          |          |          |          |          |
| Review property Legionella mgmt plan           |                                    |          |          |                                    |          |          |                                    |          |          |                                    |          |          |          |          |          |
| Review Housing Legionella mgmt plan            |                                    |          |          |                                    |          |          |                                    |          |          |                                    |          |          |          |          |          |
| Independent care home monitoring               |                                    |          |          |                                    |          |          |                                    |          |          |                                    |          |          |          |          |          |
| School kitchens monitoring                     |                                    |          |          |                                    |          |          |                                    |          |          |                                    |          |          |          |          |          |
| Cefndy healthcare ongoing support \ monitoring |                                    |          |          |                                    |          |          |                                    |          |          |                                    |          |          |          |          |          |
| Fleet depot monitoring                         |                                    |          |          |                                    |          |          |                                    |          |          |                                    |          |          |          |          |          |
| Team Monitoring visits (Fire + H&S)            |                                    |          |          |                                    |          |          |                                    |          |          |                                    |          |          |          |          |          |
| Countryside review                             |                                    |          |          |                                    |          |          |                                    |          |          |                                    |          |          |          |          |          |
| School monitoring (EVC,                        |                                    |          |          |                                    |          |          |                                    |          |          |                                    |          |          |          |          |          |
| SLT \ CET \ CH&S reports                       |                                    |          |          |                                    |          |          |                                    |          |          |                                    |          |          |          |          |          |
| CH&S and service committees                    |                                    |          |          |                                    |          |          |                                    |          |          |                                    |          |          |          |          |          |
| Training                                       | See training tab for training plan |          |          | See training tab for training plan |          |          | See training tab for training plan |          |          | See training tab for training plan |          |          |          |          |          |

# 2014 CH&S Training program

Key Tentative Done Ongoing Arranged (And on itrent)

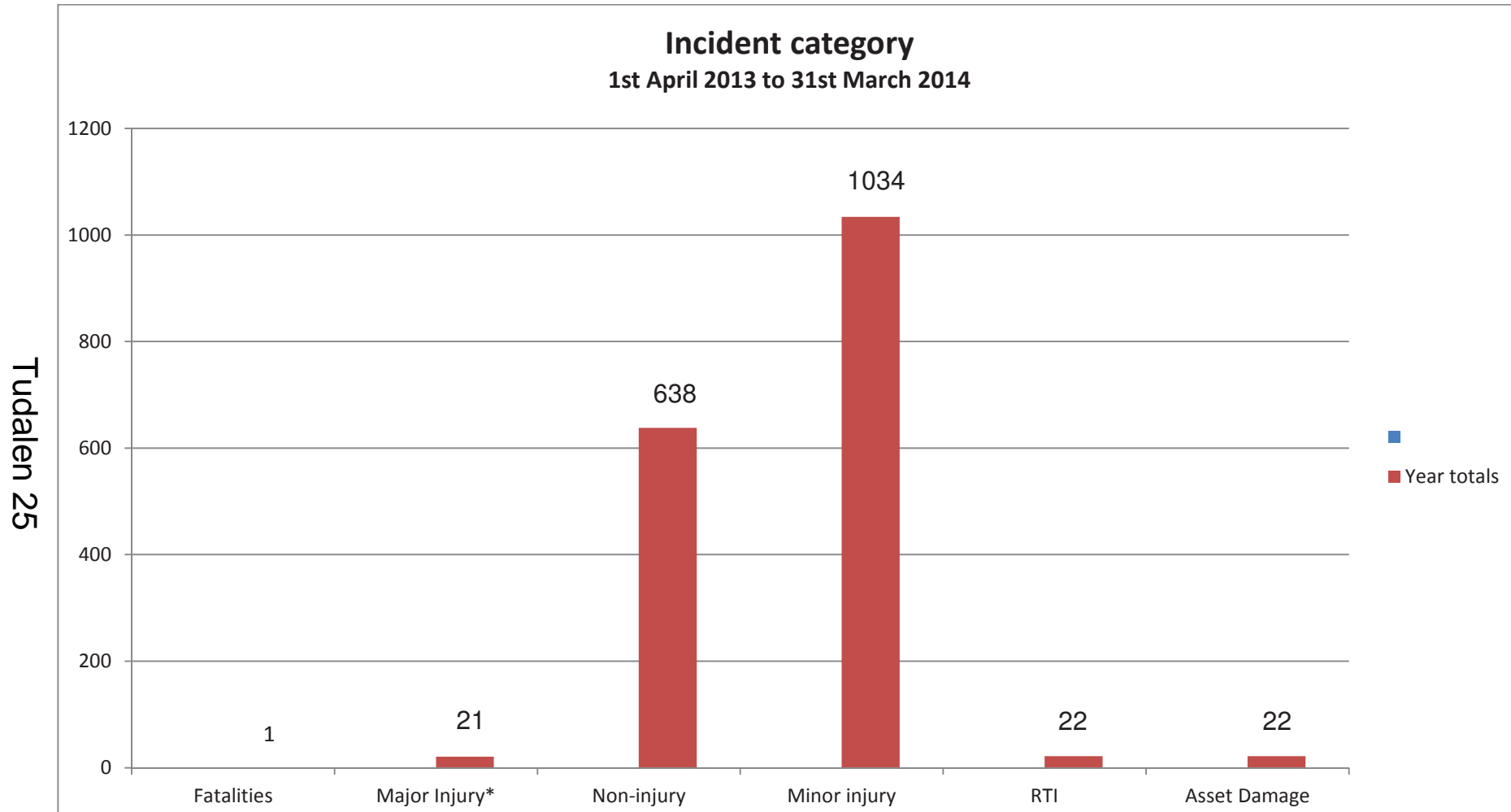
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|                                                          | Oct 2013 | Nov 2013  | Dec 2013  | Jan 2014  | Feb 2014  | Mar 2014  | Apr 2014 | May 2014  | Jun 2014  | July 2014 | Aug 2014  | Sep 2014  | Oct 2014  | Nov 2014  | Dec 2014 |
|----------------------------------------------------------|----------|-----------|-----------|-----------|-----------|-----------|----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|----------|
| Deliver Managing safely in DCC (2 days)                  |          |           |           |           | Done      |           |          |           | Arranged  |           |           |           |           |           |          |
| RA full (0.5 day)                                        |          | Tentative |           |           | cancelled |           | Arranged |           |           |           |           |           |           |           |          |
| Safety awareness (0.5 day)                               | Done     | Tentative |           |           | <Numbers  |           | Arranged |           |           | Tentative |           |           | Tentative |           |          |
| RA awareness short (1.5 hours)                           |          |           |           |           |           |           |          |           |           |           |           |           |           |           |          |
| Independent care homes - H&S awareness support (0.5 day) |          |           |           |           |           | Done      |          |           |           |           |           |           |           |           |          |
| DCC care home H&S awareness                              |          |           |           | Done      |           | Done      |          |           |           |           |           |           |           |           |          |
| Fire safety systems (2 hours)                            |          |           |           |           |           |           |          |           |           |           |           |           |           |           |          |
| Fire awareness, general (2 hours)                        |          |           |           |           |           |           |          | Tentative |           |           |           |           |           |           |          |
| Fire safety in care homes (4 hours)                      |          |           |           |           |           | Done      |          |           |           |           |           |           |           |           |          |
| Fire safety in schools (2 hours)                         |          |           |           | Done      | Done      | Done      |          |           |           |           |           |           |           |           |          |
| Asbestos awareness (A) (3.5 hours)                       |          |           |           | Done      |           |           |          |           |           |           |           |           |           |           |          |
| Asbestos awareness (B) (3.5 hours)                       |          |           |           |           |           |           |          |           |           |           |           |           |           |           |          |
| COSHH awareness (1.5 hours)                              |          |           |           |           | Done      |           |          |           |           |           |           | Tentative |           |           |          |
| Confined spaces awareness (1.5 hours)                    |          |           |           |           |           |           |          |           |           |           |           |           |           |           |          |
| WAH awareness (1.5 hours)                                |          |           |           |           |           |           |          | Arranged  |           |           |           |           | Tentative |           |          |
| School site managers (1 day)                             |          |           |           | Done      |           |           |          | Arranged  |           |           |           |           | Tentative |           |          |
| School staff H&S awareness (3 hours)                     | Done     |           |           | Done      |           |           |          |           |           |           |           |           | Tentative |           |          |
| New head teachers                                        |          |           |           |           |           |           |          |           |           |           |           |           | Tentative |           |          |
| Newly qualified teachers                                 | Done     |           |           |           |           |           |          |           |           |           |           |           | Tentative |           |          |
| School governors                                         |          | Tentative |           |           |           |           |          |           |           |           |           |           |           |           |          |
| Prep for work placement (schools) (1 hour) x many        |          |           |           |           |           |           | Arranged |           |           | Tentative |           |           | Tentative |           |          |
| Legionella awareness (1.5 hours)                         |          |           |           |           |           |           | Arranged |           |           |           |           |           |           | Tentative |          |
| Lone worker safety awareness (1.5 hours)                 |          |           |           |           | Done      |           |          |           | Tentative |           |           |           |           |           |          |
| Manual handling of objects (1.5 hours)                   |          |           |           |           |           | Done      |          |           |           |           | Tentative |           |           |           |          |
| Armed response                                           |          |           |           |           |           |           |          |           |           |           |           |           |           |           |          |
| Conflict management (1 day)                              |          |           |           |           |           | Done      |          |           |           |           |           |           |           |           |          |
| County Councillors                                       | Done     |           |           |           |           |           |          |           |           |           |           |           |           |           |          |
| H&S Champions \ coordinators                             |          |           |           |           |           |           |          |           |           |           |           |           |           |           |          |
| corporate induction                                      |          | Done      |           | Tentative |           |           |          | Tentative |           | Tentative |           |           |           |           |          |
| <b>Road risk \ driver training</b>                       |          |           |           |           |           |           |          |           |           |           |           |           |           |           |          |
| Fleet Drivers Assessments                                | Done     |           |           |           |           |           |          |           |           |           |           |           |           |           |          |
| Drivers CPC                                              | Done     | Done      |           |           |           |           |          |           |           |           |           |           |           |           |          |
| 4 X 4 & ATV Training                                     | Done     | Ongoing   | Ongoing   | Ongoing   | Ongoing   | Ongoing   | Ongoing  | Ongoing   | Ongoing   | Ongoing   | Ongoing   | Ongoing   | Ongoing   | Ongoing   | Ongoing  |
| Vocational Driver Training                               | Done     | Ongoing   | Ongoing   | Ongoing   | Ongoing   | Ongoing   | Ongoing  | Ongoing   | Ongoing   | Ongoing   | Ongoing   | Ongoing   | Ongoing   | Ongoing   | Ongoing  |
| Driver Awareness Classroom based                         | Done     |           |           | Tentative |           | Tentative |          | Tentative |           | Tentative |           | Tentative |           | Tentative |          |
| Mini Bus Assessments Schools/Youth                       | Ongoing  | Ongoing   | Ongoing   | Ongoing   | Ongoing   | Ongoing   | Ongoing  | Ongoing   | Ongoing   | Ongoing   | Ongoing   | Ongoing   | Ongoing   | Ongoing   | Ongoing  |
| Plant & Miscellaneous                                    |          |           | Tentative |           |           |           |          |           |           |           | Tentative |           | Tentative |           |          |



### Appendix 3

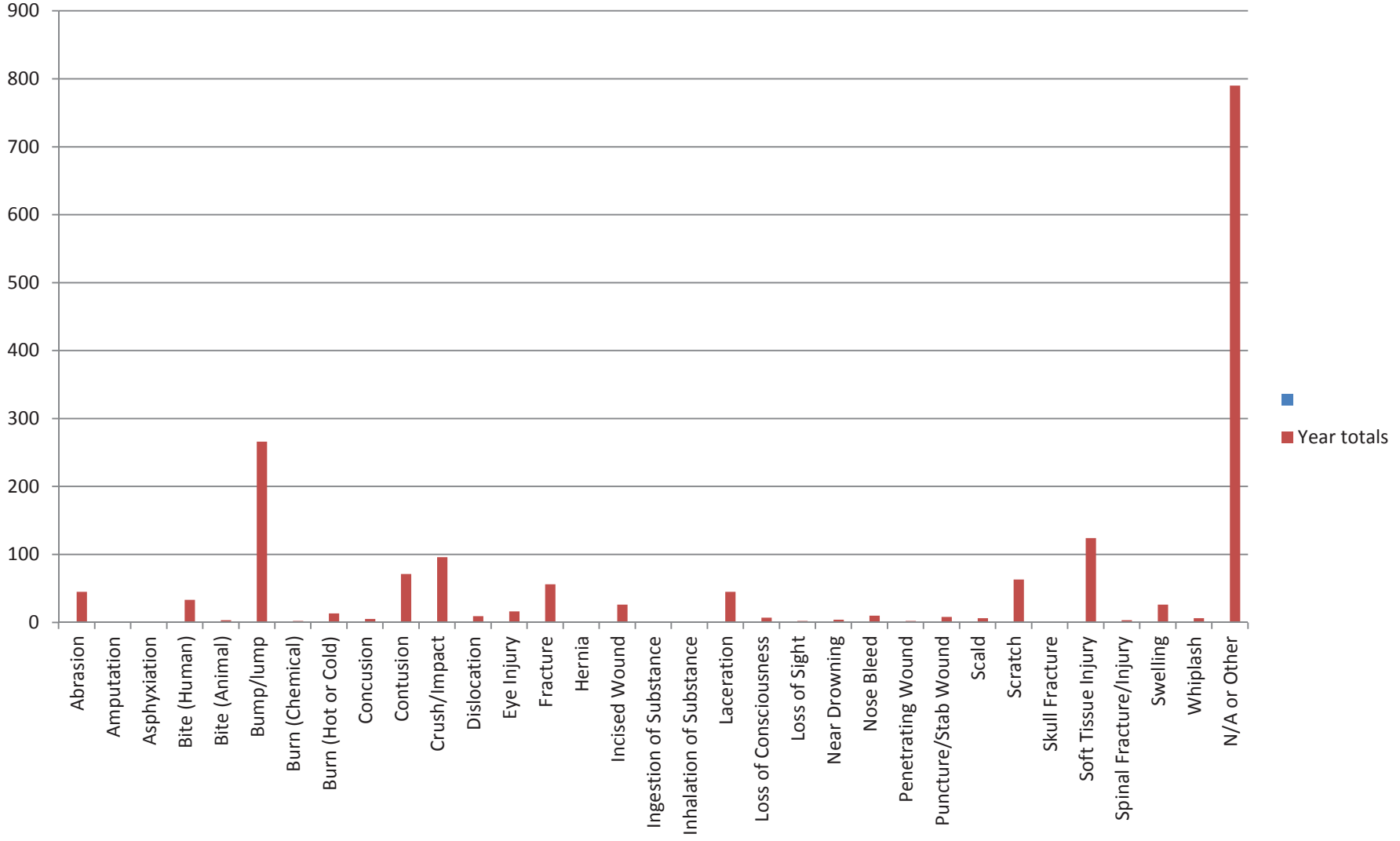
### Accident statistics April 2013 to March 2014 inclusive



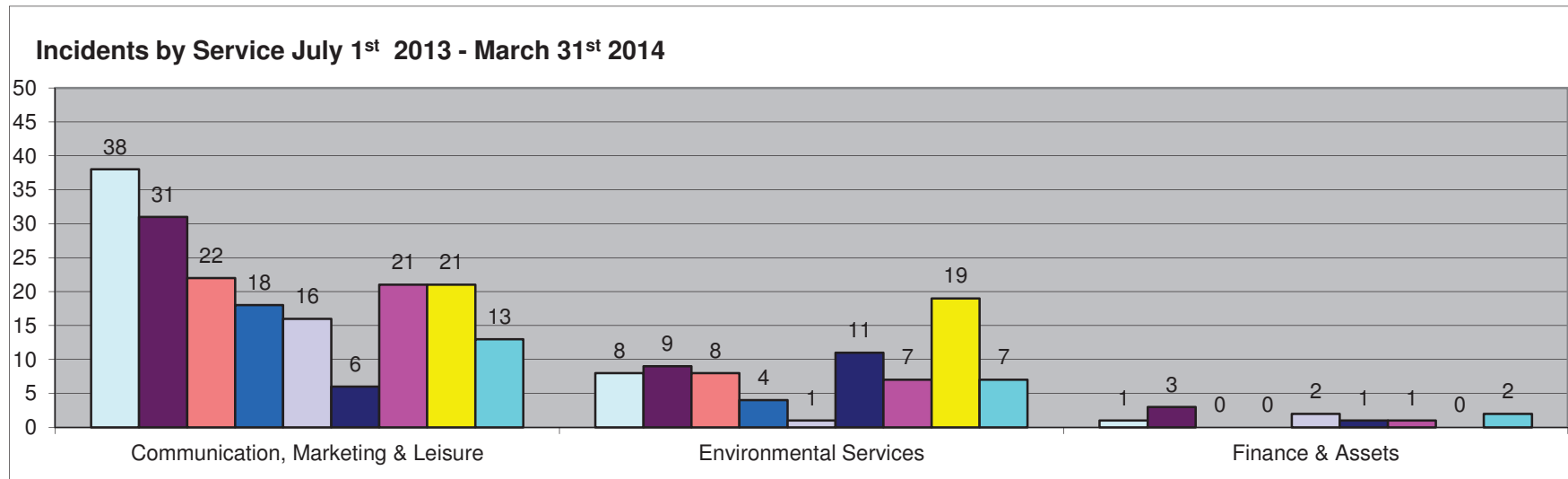
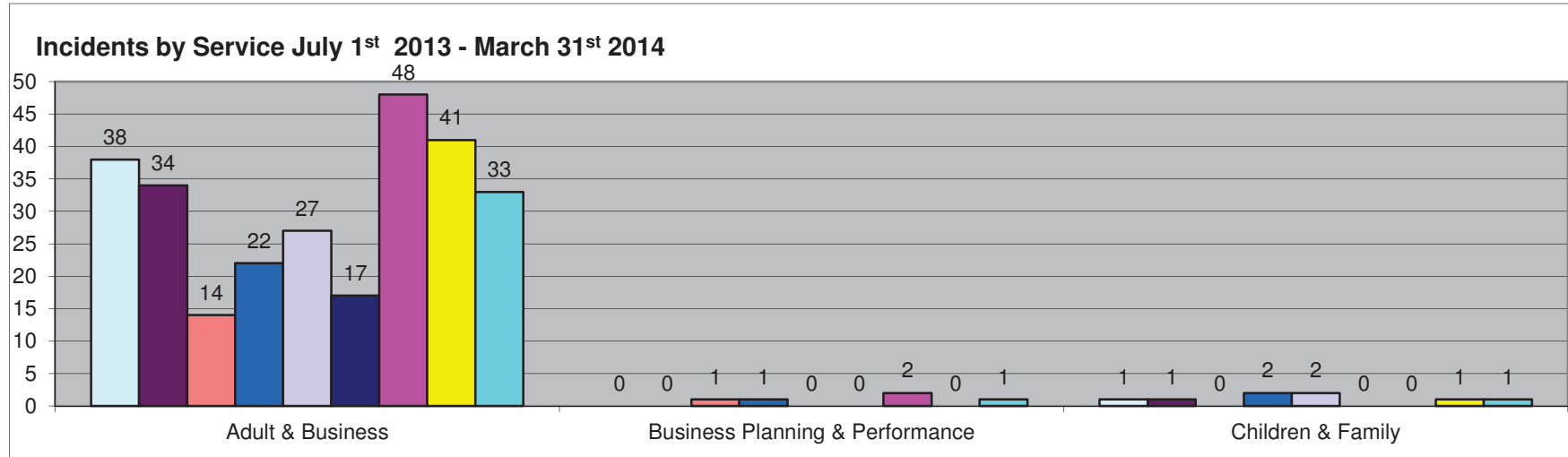
## Type of injury

1st April 2013 to 31st March 2014

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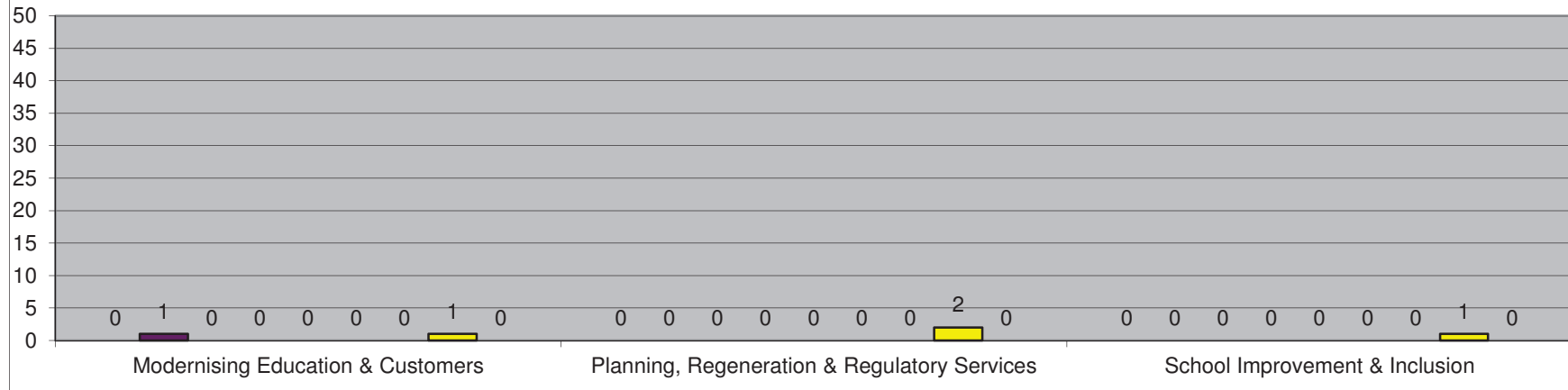
The following five graphs show service data for the past nine months (April, May, June 2013 data corrupted) in CIVICA

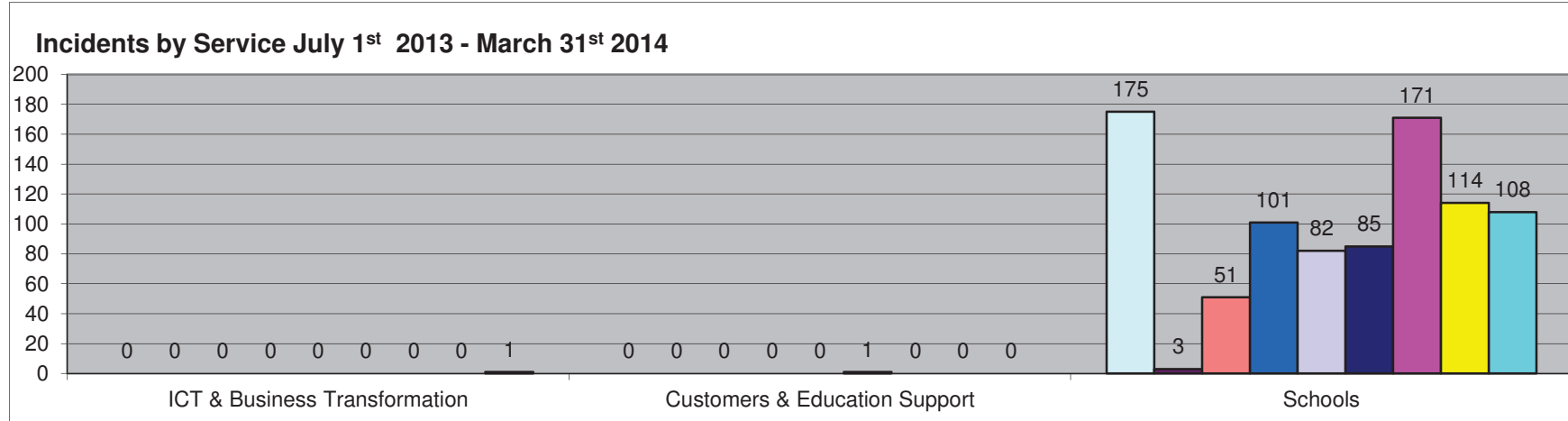


**Incidents by Service July 1<sup>st</sup> 2013 - March 31<sup>st</sup> 2014**



**Incidents by Service July 1<sup>st</sup> 2013 - March 31<sup>st</sup> 2014**





**\*Note scale change on this graph to 200\***

Mae tudalen hwn yn fwriadol wag

|                                 |                                        |
|---------------------------------|----------------------------------------|
| <b>Adroddiad i'r:</b>           | <b>Pwyllgor Archwilio Perfformiad</b>  |
| <b>Dyddiad y Cyfarfod:</b>      | <b>1 Mai 2014</b>                      |
| <b>Aelod/Swyddog Arweiniol:</b> | <b>Y Cyngorydd Hugh Irving</b>         |
| <b>Awdur yr Adroddiad:</b>      | <b>Peter McHugh</b>                    |
| <b>Teitl:</b>                   | <b>Cynllun Gwella Gwasanaethau Tai</b> |

---

## 1. Am beth mae'r adroddiad yn sôn?

Mae'r adroddiad yn manylu'r gwelliannau gwasanaeth a wnaed i'r Gwasanaeth Tai o ganlyniad i'r "archwiliad ffug" a gynhaliwyd gan y Rhwydwaith Ansawdd Tai yn 2011 ac mae'n amlinellu'r fframwaith rheoli perfformiad sydd wedi'i sefydlu i gefnogi nod y gwasanaeth o welliant parhaus.

## 2. Beth yw'r rheswm dros lunio'r adroddiad hwn?

Bydd yr adroddiad hwn yn galluogi aelodau i adolygu'r cynnydd a wnaed mewn perthynas â'r gwendidau allweddol a nodwyd o fewn yr "archwiliad ffug" a rhoi sylwadau ar y fframwaith rheoli perfformiad a ddatblygwyd.

## 3. Beth yw'r Argymhellion?

Bod y Pwyllgor yn:

- 3.1. Nodi'r cynnydd sydd wedi'i wneud mewn perthynas â gwella gwasanaethau
- 3.2. Darparu arsylwadau a sylwadau ar y fframwaith rheoli perfformiad a ddatblygwyd.

## 4. Manylion am yr Adroddiad

### 4.1. Archwiliad ffug - Awst 2011

Penodwyd y Pennaeth Tai ym mis Ebrill 2011 ac ym mis Gorffennaf 2011 comisiynwyd "archwiliad ffug" o'r Rhwydwaith Ansawdd Tai i asesu perfformiad y gwasanaeth yn erbyn graddfeydd comisiwn archwilio sefydledig a oedd yn amrywio o wasanaeth rhagorol 3 seren (25% uchaf o berfformwyr ar draws y DU) i berfformwyr 0 seren (10% isaf o'r perfformwyr).

Defnyddiodd yr archwilwyr amrywiaeth o dechnegau i gynnal yr archwiliad oedd yn cynnwys adolygiad pen desg, siopwr cudd, cyfweiliadau grwpiau ffocws, cyfarfodydd 1:1 gyda staff, tenantiaid a phreswylwyr, dadansoddi ac asesiadau dogfennau allweddol a oedd yn sail i'w canfyddiadau. Yna cafodd y canfyddiadau eu hadolygu a'u safoni gan dîm annibynnol i sicrhau eu bod yn gyson, trylwyr a chadarn.

Daeth canfyddiadau'r archwiliad ffug i'r casgliad bod y gwasanaeth yn "wasanaeth landlord traddodiadol" yn bennaf, roedd yn adweithiol nid yn rhagweithiol, roedd mwy o wendidau na chryfderau a phrofwyd problemau cyffredin ar draws yr holl dimau. Nododd yr archwiliad nifer o feysydd o bryder allweddol a oedd yn cynnwys:

- Dim system rheoli perfformiad ar waith
- Diffyg hyder yn y system TG a arweiniodd at lawer o brosesau â llaw neu heb eu safoni
- Dim data bodlonrwydd cwsmeriaid yn cael ei gasglu
- Dim meincnodi wedi'i gynnal
- Dim safon ailosod wedi'i ddiffinio yn bodoli

Felly, daeth y Rhwydwaith Ansawdd Tai i'r casgliad bod y gwasanaeth yn berfformiwr "0" seren ac roedd angen gwelliant sylweddol.

#### 4.2 Ymateb y Gwasanaeth i'r Archwiliad Ffug

Roedd yr archwiliad ffug yn rhoi dyfarniad damniol iawn ar berfformiad y gwasanaeth a wynebwyd gan gyfuniad o sioc, anghrediniaeth, pryder a gwadu gan rai rheolwyr a staff. Derbyniwyd adroddiadau archwilio mewnol pellach yn ymwneud â gwasanaethau cynnal a chadw a rheoli incwm sy'n peri mwy o bryder.

Fodd bynnag, roedd yr archwiliad ffug hefyd yn gatalydd ar gyfer newid ac roedd trafodaethau gyda staff yn cadarnhau bod y rhan fwyaf o aelodau o staff yn dyheu am newid. O ystyried maint yr her a'r ffaith bod pob maes gwasanaeth wedi cael eu hasesu yn wan cychwynnodd y Pennaeth Tai ar adolygiad gwraidd a changen a rhaglen ailstrwythuro.

Cafodd tîm ansawdd a pherfformiad ei sefydlu gyda stiwardiaeth Rheolwr Ansawdd a Pherfformiad newydd sydd wedi cymryd rôl arweiniol wrth ddatblygu'r fframwaith rheoli perfformiad.

Mae'r gwasanaethau canlynol wedi cael eu hailstrwythuro i gwrdd â'r argymhellion yn deillio o'r archwiliad ffug:

- Uwch Dîm Arweinyddiaeth
- Rheoli Tai
- Cyfranogiad Tenantiaid
- Cefnogaeth Busnes
- Rheoli Asedau
- Gwasanaeth Warden
- Strategaeth Tai

Mae ailstrwythuro'r Tîm Digartrefedd ac Opsiynau Tai i fod i gael ei gwblhau ym mis Medi 2014 a fydd yn dod i gasgliad ar yr adolygiad ac ailstrwythuro mawr o'r holl feysydd gwasanaeth allweddol heblaw'r DLO a fydd yn mynd trwy newid sylweddol o ganlyniad i'r prosiect Rhagoriaeth Tai.

Mae'r newidiadau uchod wedi helpu i yrru ymlaen â'r cynlluniau gwella gwasanaeth a datblygu dull rhagweithiol i fynd i'r afael â'r materion a'r gwendidau eraill a nodwyd o fewn yr archwiliad ffug. Mae gwelliannau allweddol hyd yma yn cynnwys:

1. Fframwaith rheoli perfformiad ar waith (Atodiad 1)



2. Datblygu Prosiect TG Tai Rhagoriaeth i ddarparu TG modern, addas i'r diben ymarferoldeb a hwyluso gweithio symudol ac atgyweirio ar gyfer y DLO a chanolfan alwadau ar gyfer Tai. (Atodiad 2)
3. Meincnod Gwasanaethau Tai yn erbyn y Cylch Cyfoedion Cymru Gyfan (yn flynyddol a chanlyniadau ym mis Tachwedd 2014) a hwn yw'r unig Awdurdod Lleol ar draws Cymru gyfan i ymgymryd â meincnodi chwarterol yn erbyn awdurdodau tebyg yn Lloegr. Mae canlyniadau diweddaraf yn dangos bod dros 40% o Ddangosyddion Perfformiad Allweddol yn y chwarterel uchaf yn erbyn grŵp cyfoedion Lloegr cyfan o'i gymharu â 0% yn 2011. (atodiad 3)
4. Safon ailosod ar gyfer eiddo gwag wedi'i gytuno gyda thenantiaid (Atodiad 4)
5. Data ar foddhad ar gyfer gwasanaeth atgyweirio DLO yn rhedeg 100% ar gyfer y gwaith atgyweirio a boddhad diwethaf gyda'r gwasanaeth dyraniad yn rhedeg ar 77%, 95% o ymgeiswyr digartref yn fodlon ar y llety a ddarparwyd a boddhad gyda'r gwasanaeth digartrefedd yn rhedeg ar 98%.
6. Gwasanaeth digartrefedd wedi cael ei nodi fel yr un sy'n perfformio orau yng Nghymru gyfan a chafodd ei grybwyll fel enghraifft o arfer da yn Adolygiad Williams
7. Mae'r gwasanaeth ar y trywydd iawn i gwblhau SATC i bob un o'i stoc dai yn 2014 (un o 4 awdurdod yn unig i wneud hynny) a chafodd y rhaglen buddsoddi cyfalaf 5 mlynedd ei gymeradwyo gan y Cabinet ym mis Chwefror 2014.
8. Mae'r gwasanaeth yn cydymffurfio'n llawn ag argymhellion adroddiad archwilio mewnol mewn perthynas â chynnal a chadw a rheoli incwm

I gloi mae'r Gwasanaeth Tai wedi mynd trwy gyfnod parhaus o drawsnewid a gwella ac er bod gwaith i'w wneud yn awr mae gan y gwasanaeth sylfaen gadarn i adeiladu arno a pharhau â'i raglen o wella gwasanaethau.

## **5. Sut mae'r penderfyniad yn cyfrannu at y Blaenoriaethau Corfforaethol?**

- 5.1 Mae darparu tai o ansawdd da yn flaenoriaeth gorfforaethol gyda rheolaeth effeithiol ac effeithlon y Gwasanaeth Tai yn allweddol i sicrhau bod yr amcan hwn yn cael ei gyflawni ar gyfer tenantiaid a phreswylwyr.

## **6. Faint fydd yn ei gostio a sut bydd yn effeithio ar wasanaethau eraill?**

- 6.1 Mae costau cynlluniau gwella gwasanaeth yn cael eu cynnwys o fewn cyllidebau presennol a chostau uwchraddio Systemau TG Tai a chyflwyno gweithio symudol (tua £1 miliwn) yn cael eu hariannu drwy gyfuniad o doriadau yn y gyllideb ac arbedion refeniw yn y dyfodol fel rhan o strategaeth gwario i gynilo.
- 6.2 Mae'r Gwasanaeth Tai yn cael ei ariannu'n bennaf (80%) trwy'r Cyfrif Refeniw Tai sy'n cael ei neilltuo a'i gefnogi gan gynllun busnes deng mlynedd ar hugain. Mae'r strategaeth gwella gwasanaethau wedi cael effaith ar adrannau eraill yn fwyaf nodedig y Gwasanaethau Amgylcheddol sydd wedi arwain at Storfeydd a roddir ar gontract allanol a bydd y rhaglen Cynnal a Chadw'r Tir yn mynd allan i dendr allanol yn 2014/15. Mae ymgysylltu'n gynnar â Phenathiaid Gwasanaeth eraill ac ymarferiad ymgynghori llawn ag adrannau yr effeithir arnynt wedi helpu i reoli a lliniaru'r effaith ar wasanaethau eraill.

## **7. Beth yw prif gasgliadau'r Asesiad o Effaith ar Gydraddoldeb a gynhaliwyd**

### **am y penderfyniad?**

Mae pob un o'r trefniadau ailstrwythuro wedi eu cefnogi gan asesiad o effaith ar gydraddoldeb a ffocws y cynlluniau gwella gwasanaeth oedd rhoi'r cwsmer wrth galon yr hyn a wnawn a ddylai sicrhau bod y gwasanaeth yn fwy sensitif i ac yn fwy rhagweithiol wrth ymateb i faterion cydraddoldeb.

### **8. Pa ymgynghoriadau a wnaed gydag Archwilio ac eraill?**

Mae canfyddiadau'r archwiliad ffug, cynigion ar gyfer cynlluniau ailstrwythuro a gwella wedi cael eu rhannu gyda'r Ffederasiwn Tenantiaid.

### **9. Datganiad y Prif Swyddog Cyllid**

Mae cost y gwelliannau wedi cael eu talu o arbedion effeithlonrwydd ac felly o fewn adnoddau presennol - naill ai o'r Cyfrif Refeniw Tai neu gyllidebau tai a ariennir gan y cyngor.

### **10. Pa risgiau sy'n bodoli ac a oes unrhyw beth y gallwn ei wneud i'w**

#### **Ileihau?**

Y brif risg yw bod perfformiad yn disgyn i lefelau annerbyniol. Er mwyn rheoli a lliniaru'r risg hwn, ymgwymerir â rheoli perfformiad cadarn, mae perfformiad yn cael ei adolygu gan yr Aelod Arweiniol mewn cyfarfodydd 1:1 gyda'r Pennaeth Gwasanaeth ac mae'r broses herio gwasanaeth bellach yn llawer mwy trwyadl a chadarn.

### **11. Pŵer i wneud y Penderfyniad**

Mae Erthygl 6.3.3 o Gyfansoddiad y Cyngor yn nodi'r rôl Archwilio o ran datblygu ac adolygu polisi.

#### **Swyddog Cyswllt:**

Peter McHugh, Pennaeth Tai a Datblygu Cymunedol (Ffôn: 01824 712955)



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HOUSING & COMMUNITY DEVELOPMENT**

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## Housing & Community Development

### Quality & Performance Team

### Quality & Performance Challenge Framework

| Document Control |                                                                  |
|------------------|------------------------------------------------------------------|
| Title:           | Quality & Performance Challenge Reporting Guidelines & Framework |
| Version:         | Version 1                                                        |
| Status:          | Final                                                            |
| Date:            | April 2014                                                       |
| Controllers:     | One                                                              |
| Contacts         | Jenny Elliott                                                    |



## Governance & Reporting

The Quality & Performance Team (Q&P) developed the first Performance Management Framework (PFM) in December 2012. Performance surgeries have now evolved into performance challenge meetings, which are the driver for continuous improvement. Below is the reporting schedule that has been put in place until

. The Governance and reporting will be supported by the Q&P team.

| Date information sent out to Senior managers | Date When report needs to be updated and returned by | Date report will be sent out to management by Q & P | Performance Challenge Date |
|----------------------------------------------|------------------------------------------------------|-----------------------------------------------------|----------------------------|
| 3rd January 2014                             | 10th January 2014                                    | 21st January 2014                                   | 28th January 2014          |
| 3rd February 2014                            | 10th February 2014                                   | 18th February 2014                                  | 25th February 2014         |
| 3rd March 2014                               | 10th March 2014                                      | 18th March 2014                                     | 25th March 2014            |
| 1st April 2014                               | 8th April 2014                                       | 22nd April 2014                                     | 29th April 2014            |
| 1st May 2014                                 | 8th May 2014                                         | 20th May 2014                                       | 27th May 2014              |
| 2nd June 2014                                | 9th June 2014                                        | 17th June 2014                                      | 24th June 2014             |

Reports for the quality and performance surgery meetings will be produced quarterly by the Q&P team, with exception reporting in the intervening months.

## Overarching Department / Service Level balanced score card for Housing and Community Development

A balance scorecard approach has been developed which includes:

### Overarching Departmental

- Finances - DCC's finance report to highlight exceptions, over and underspend to ensure a balanced budget
- Sickness
- Complaints, compliments cross cutting service standards e.g. response times, how feedback has shaped service generally



## Service Level Reports

### 1) Finance

- Service level financial performance

### 2) Customers

- Service level complaints & compliments cross
- Any changes made to services as a result of complaints/ feedback
- Development & monitoring of outcomes for customers
- Customer satisfaction information
- Stakeholder feedback
- Development & monitoring of service specific standards.

### 3) Internal - Indicators & measures that the service is on track:

#### a) Staff:-

- Service level sickness
- Performance appraisals monitoring
- Management support/supervision monitoring
- Responses to issues raised from staff surveys.
- Monitoring of compliance with key requirements eg Respect booklet
- Monitoring of restructure progress

#### b) Service Improvement Plans progress

#### c) Performance Indicators & Target:-

- Key Performance Indicators
- Local / tenant Performance Indicators
- Benchmarking information

#### d) Plans & Risks:-

- Progress with Team Plans
- Monitoring of risk management.
- Progress against Service business plan actions
- Progress against other plans (eg Town & Area Plans)

### 4) Innovation, Development & Research – things we are doing to take the service forward:

- Progress against internal audit reports
- Progress in the Excellent Housing Project Plan
- Highlight reports for all project plans
- Awards & recognition for the month



In addition to the above, any reports scheduled to go Scrutiny, Cabinet, elected members, the Welsh Government or general public should be reported in the Q&P surgery meetings, where ever possible, prior to going externally within the department.

## Next Phase Improvement

Two versions of the reports will be produced for each performance challenge meeting. One will be for challenge purposes and will include details of actions/ issues brought forward from the previous meeting to ensure continuity in the challenge process.

Detailed sub service BSC's will be developed building on progress so far. eg in asset management, we would have a mini score card for each contract ranging from painting to gas servicing.

A Risk Based Approach will be introduced, ie the Q&P team will consider relaxing detailed monitoring and reporting where there is confidence that the service is able to grow and develop independently. Monitoring would then focus only on key Critical Success Factor indicators only.

Consideration of a split between strategic & operational BSC's.

Integration of service challenge reporting and service action plan follow up.

Mapping actions and progress against HQN review recommendations and identifying if there are any gaps.

A review of KPI's to ensure the indicators we are reporting against are still relevant and fit for purpose.

A review of benchmarking to ensure we are measuring our performance against the most appropriate comparable groups.

## Planning Links

We will be introducing Quality Assurance into the service planning process. This will ensure actions not completed or only partly completed from the performance challenge process are carried forward addressed in future team and/ or service business plans.

We are also conducting a review of the planning process and will be producing a clear planning timeline document with deadlines to enable proactive strategic analysis and integrated business planning for 15/16 onwards.

We intend to review the TOP template in 2014 to further improve the implementation of the "Golden Thread" which links corporate and strategic actions and priorities to team and individual actions within the department.

The "Delivery Framework" will also be revised and integrated into the planning cycle to ensure the concept of the Golden Thread is can be tracked from corporate and strategic priorities down to team plans and staff appraisal,



where this does not happen in service, this will be reported in the quality & performance challenge reports.

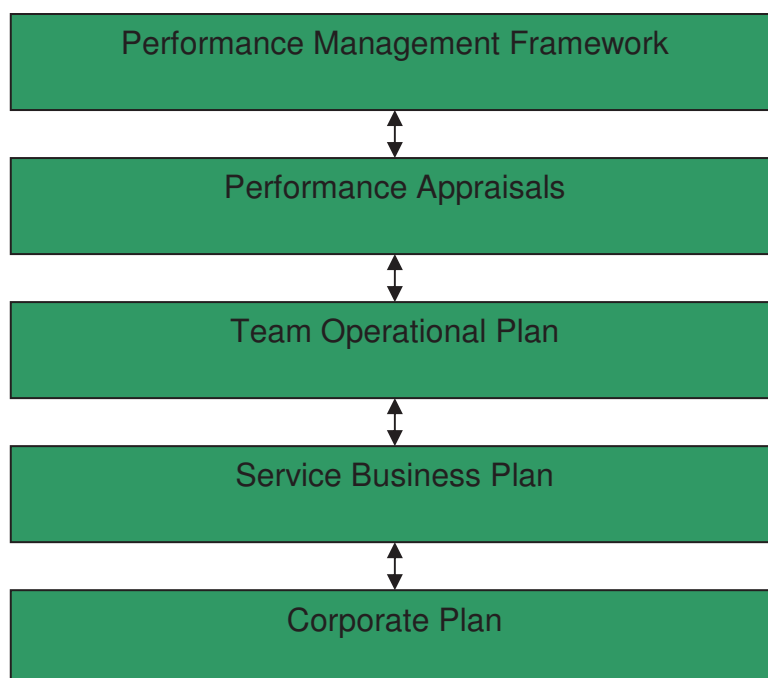
All of the above improvements will deliver an integrated and streamlined Business Planning process that is driven by a robust and comprehensive Q & PMF. This will support the Housing & Community Development aim of becoming an excellent organisation putting the customer at the heart of everything we do.

There are areas that we will need to develop further and will need to consult and work with you to do this. The areas below are some that we will be reviewing but this list is not exhaustive and will evolve as the PFM develops:

- Health & Safety reporting
- Compliance with regulation and legislative frameworks, Policy & Procedures
- Service quality & Total Quality Management (TQM) approaches
- Value For Money
- Benchmarking against best practice and research
- Results Based Accountability (RBA)
- Aligning terminology and language used, eg outcome indicators and performance measures.

## Business planning

Business Planning is one of the other areas that the Q&P team are looking to formalise. The current structure of business planning is below:



## Team Plans

The template for the team plan is included in appendix 1

## Service Business Plan

The Service Business Plan will be finalised by end April 2014 and by the end of February, (prior to the rent setting by cabinet), in subsequent years.

Both of these plans will evolve and develop over time but as a start, below are some examples of the issues that will need highlighting in the Team Operational & Service Business Plans:

- Internal strengths & weakness
- External environmental opportunities e.g. political, economic, social, technological, ecological and legal
- Corporate and departmental priorities e.g. aiming for excellence, closer to communities etc
- Issues picked up from monitoring Key Performance Indicators, SIP's & project plans
- Service challenge - issues which have come out of service challenge which need to be followed up
- Void Reporting

## Complimentary Review Processes

We have started to roll out "Systems Thinking Reviews" within the department:-

- Responsive repairs concluded in December 2013.
- Contractual review of the SIL service concluded in March 2014
- A review is currently underway looking at allocations and voids which will conclude by end May 2014.

We will be using "Pareto Analysis" techniques to target Systems Thinking reviews in future within each section of the department. This process has been coordinated with and will complement internal audit reviews.





## Appendix 1



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**Appendices**

**Appendix 1**

**Housing & Community Development Team Operational Plan**

| <b>Head of Service</b> | <b>Team</b> | <b>Team Manager</b> |
|------------------------|-------------|---------------------|
|                        |             |                     |

| <b>Service Information</b> |  |
|----------------------------|--|
| <b>Aims of the Service</b> |  |
| <b>Staffing (FTE)</b>      |  |

| <b>Team SWOT</b>     |                   |
|----------------------|-------------------|
| <b>Strengths</b>     | <b>Weaknesses</b> |
|                      |                   |
| <b>Opportunities</b> | <b>Threats</b>    |
|                      |                   |

| <b>SELF ASSESSMENT</b>         |
|--------------------------------|
| <b>Relevant KLOE Areas</b>     |
|                                |
| <b>What we do well</b>         |
|                                |
| <b>What we are improving</b>   |
|                                |
| <b>What we need to improve</b> |
|                                |

Tudor 42

**How we compare in relation to other service providers**

**Team Risk Log**

| No | Description of Risk | Gross Risk Score |             |                  | What's already in place to control/mitigate risk? | What else can we do to reduce risk further? | Is this a business continuity risk? | Risk Manager / Owner | Actions to be address by when & whom? |
|----|---------------------|------------------|-------------|------------------|---------------------------------------------------|---------------------------------------------|-------------------------------------|----------------------|---------------------------------------|
|    |                     | L<br>o<br>w      | M<br>e<br>d | H<br>i<br>g<br>h |                                                   |                                             |                                     |                      |                                       |
|    |                     |                  |             |                  |                                                   |                                             |                                     |                      |                                       |
|    |                     |                  |             |                  |                                                   |                                             |                                     |                      |                                       |
|    |                     |                  |             |                  |                                                   |                                             |                                     |                      |                                       |
|    |                     |                  |             |                  |                                                   |                                             |                                     |                      |                                       |
|    |                     |                  |             |                  |                                                   |                                             |                                     |                      |                                       |
|    |                     |                  |             |                  |                                                   |                                             |                                     |                      |                                       |
|    |                     |                  |             |                  |                                                   |                                             |                                     |                      |                                       |

Tudale 43

| <b>Cross Cutting Improvements 01 – Access &amp; Customer Care</b> |    |            |                        |
|-------------------------------------------------------------------|----|------------|------------------------|
| <b>Corporate Culture &amp; Governance</b>                         |    |            |                        |
| Key Actions                                                       | ID | Team Tasks | Lead Officer Timescale |
|                                                                   |    |            |                        |
|                                                                   |    |            |                        |
| <b>Access To The Service</b>                                      |    |            |                        |
| Key Actions                                                       | ID | Team Tasks | Lead Officer Timescale |
|                                                                   |    |            |                        |
|                                                                   |    |            |                        |
| <b>Complaints – what we have learnt from complaints?</b>          |    |            |                        |
| Key Actions                                                       | ID | Team Tasks | Lead Officer Timescale |
|                                                                   |    |            |                        |

|  |  |  |  |
|--|--|--|--|
|  |  |  |  |
|  |  |  |  |

**Cross Cutting Improvements 02 - Diversity**

**Access and Customer Care**

| Key Actions | ID | Team Tasks | Lead Officer Timescale |
|-------------|----|------------|------------------------|
|             |    |            |                        |
|             |    |            |                        |

**Diversity**

| Key Actions | ID | Team Tasks | Lead Officer Timescale |
|-------------|----|------------|------------------------|
|             |    |            |                        |
|             |    |            |                        |

**Partnerships**

| Key Actions | ID | Team Tasks | Lead Officer Timescale |
|-------------|----|------------|------------------------|
|             |    |            |                        |
|             |    |            |                        |

**ISO Audit / Review**

| KLOE Area | Policy / Procedure | Lead | Timescale |
|-----------|--------------------|------|-----------|
|           |                    |      |           |
|           |                    |      |           |

Tudalen 44

|  |  |  |  |
|--|--|--|--|
|  |  |  |  |
|  |  |  |  |

| <b>Performance Indicators</b> |  |  |  |  |
|-------------------------------|--|--|--|--|
|-------------------------------|--|--|--|--|

| <b>Key Action</b> | <b>Indicator</b> | <b>Target</b> | <b>Frequency</b> | <b>Lead Officer</b> |
|-------------------|------------------|---------------|------------------|---------------------|
|                   |                  |               |                  |                     |
|                   |                  |               |                  |                     |
|                   |                  |               |                  |                     |

| <b>Service Standards</b> |  |  |  |  |
|--------------------------|--|--|--|--|
|--------------------------|--|--|--|--|

| <b>KLOE Area</b> | <b>Standard</b> | <b>Target</b> | <b>Frequency</b> | <b>Lead Officer</b> |
|------------------|-----------------|---------------|------------------|---------------------|
|                  |                 |               |                  |                     |
|                  |                 |               |                  |                     |
|                  |                 |               |                  |                     |

Tudalen 45

Mae tudalen hwn yn fwriadol wag

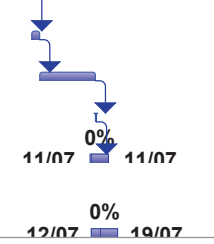
| ID  | Task Name                                                        | Start               | Finish              | 2012 |     |     |     |     |     |     |     |     |     |     | 2014 |     |     |     |     |     |     |     |  |  |  |  |  |
|-----|------------------------------------------------------------------|---------------------|---------------------|------|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|------|-----|-----|-----|-----|-----|-----|-----|--|--|--|--|--|
|     |                                                                  |                     |                     | Nov  | Jan | Mar | May | Jul | Sep | Nov | Jan | Mar | May | Jul | Sep  | Nov | Jan | Mar | May | Jul | Sep | Nov |  |  |  |  |  |
| 1   | <b>Implementation Plan Denbighshire CC</b>                       | <b>Thu 17/01/13</b> | <b>Tue 19/07/16</b> |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 2   | <b>Phase 1</b>                                                   | <b>Thu 17/01/13</b> | <b>Thu 02/04/15</b> |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 3   | <b>Project Planning &amp; Meetings</b>                           | <b>Thu 17/01/13</b> | <b>Mon 01/12/14</b> |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 19  | <b>Project Board</b>                                             | <b>Thu 27/02/14</b> | <b>Thu 11/12/14</b> |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 28  | <b>System Environment</b>                                        | <b>Mon 20/01/14</b> | <b>Tue 02/12/14</b> |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 47  | <b>Capita Housing to Open Housing Data Extracts / Loads</b>      | <b>Tue 18/03/14</b> | <b>Wed 21/01/15</b> |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 66  | <b>Open Housing Interfaces</b>                                   | <b>Mon 09/06/14</b> | <b>Mon 23/02/15</b> |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 105 | <b>CORE &amp; HSG Rents &amp; Arrears</b>                        | <b>Tue 11/03/14</b> | <b>Fri 23/01/15</b> |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 131 | <b>Allocations &amp; Voids</b>                                   | <b>Thu 13/03/14</b> | <b>Fri 23/01/15</b> |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 149 | <b>Repairs and Maintenance</b>                                   | <b>Tue 25/03/14</b> | <b>Fri 23/01/15</b> |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 168 | <b>Service Charges</b>                                           | <b>Tue 05/08/14</b> | <b>Fri 23/01/15</b> |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 184 | <b>Asbestos</b>                                                  | <b>Thu 15/05/14</b> | <b>Fri 23/01/15</b> |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 200 | <b>Housing Auddis &amp; Direct Debits</b>                        | <b>Wed 23/07/14</b> | <b>Fri 23/01/15</b> |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 212 | <b>Contact Management</b>                                        | <b>Tue 15/07/14</b> | <b>Fri 23/01/15</b> |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 226 | <b>OC Works Ticketing &amp; Task Charging</b>                    | <b>Tue 08/07/14</b> | <b>Wed 14/01/15</b> |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 242 | <b>OC Stores &amp; Purchasing</b>                                | <b>Tue 22/07/14</b> | <b>Fri 23/01/15</b> |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 259 | <b>OC Timesheets</b>                                             | <b>Wed 06/08/14</b> | <b>Wed 14/01/15</b> |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 272 | <b>OC Job Costing</b>                                            | <b>Tue 19/08/14</b> | <b>Wed 14/01/15</b> |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 285 | <b>Master Query</b>                                              | <b>Mon 29/09/14</b> | <b>Fri 23/01/15</b> |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 294 | <b>Insight</b>                                                   | <b>Mon 08/09/14</b> | <b>Fri 23/01/15</b> |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 305 | <b>Mailmerge</b>                                                 | <b>Wed 25/06/14</b> | <b>Fri 23/01/15</b> |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 313 | <b>CRM</b>                                                       | <b>Mon 15/09/14</b> | <b>Fri 23/01/15</b> |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 324 | <b>Private Sector Housing</b>                                    | <b>Wed 17/09/14</b> | <b>Thu 26/02/15</b> |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 336 | <b>Servicing</b>                                                 | <b>Tue 07/10/14</b> | <b>Mon 02/02/15</b> |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 352 | <b>Go Live Support</b>                                           | <b>Sat 28/03/15</b> | <b>Thu 02/04/15</b> |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 357 |                                                                  |                     |                     |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 358 | <b>Phase 2</b>                                                   | <b>Fri 01/05/15</b> | <b>Tue 19/07/16</b> |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 359 | <b>Phase 2 Modules</b>                                           | <b>Fri 01/05/15</b> | <b>Mon 11/07/16</b> |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 360 | Right to Buy                                                     | Fri 01/05/15        | Thu 07/05/15        |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 361 | Home Visits                                                      | Fri 08/05/15        | Thu 14/05/15        |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 362 | Debt Management                                                  | Fri 15/05/15        | Thu 21/05/15        |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 363 | Resident Involvement                                             | Fri 22/05/15        | Thu 28/05/15        |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 364 | Service Charges                                                  | Fri 29/05/15        | Thu 04/06/15        |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 365 | Neighbourhoods and Communities                                   | Fri 05/06/15        | Thu 11/06/15        |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 366 | Outlook integration                                              | Fri 12/06/15        | Thu 18/06/15        |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 367 | <b>Workflow</b>                                                  | <b>Fri 19/06/15</b> | <b>Tue 03/11/15</b> |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 379 | Repairs and Maintenance Contractor Portal                        | Wed 04/11/15        | Tue 10/11/15        |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 380 | OPEN Access inc OPENTouch                                        | Wed 11/11/15        | Tue 17/11/15        |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 381 | SMS Text Messaging                                               | Wed 18/11/15        | Tue 24/11/15        |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 382 | <b>Temporary Accomodation, Homelessness &amp; Housing Advice</b> | <b>Wed 25/11/15</b> | <b>Thu 05/05/16</b> |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |
| 396 | Satisfaction Surveys                                             | Fri 06/05/16        | Thu 12/05/16        |      |     |     |     |     |     |     |     |     |     |     |      |     |     |     |     |     |     |     |  |  |  |  |  |

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Project: OH Implementation Plan  
Date: Wed 16/04/14

|           |  |                    |  |                    |  |                       |  |          |  |
|-----------|--|--------------------|--|--------------------|--|-----------------------|--|----------|--|
| Task      |  | Project Summary    |  | Inactive Milestone |  | Manual Summary Rollup |  | Progress |  |
| Split     |  | External Tasks     |  | Inactive Summary   |  | Manual Summary        |  | Deadline |  |
| Milestone |  | External Milestone |  | Manual Task        |  | Start-only            |  |          |  |
| Summary   |  | Inactive Task      |  | Duration-only      |  | Finish-only           |  |          |  |

| ID  | Task Name                                    | Start               | Finish              | 2012 |     |     |     |     | 2013 |     |     |     |     | 2014 |     |     |     |     |     |     |     |     |     |     |     |     |
|-----|----------------------------------------------|---------------------|---------------------|------|-----|-----|-----|-----|------|-----|-----|-----|-----|------|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|
|     |                                              |                     |                     | Nov  | Jan | Mar | May | Jul | Sep  | Nov | Jan | Mar | May | Jul  | Sep | Nov | Jan | Mar | May | Jul | Sep | Nov | Jan | Mar | May | Jul |
| 397 | CTI                                          | Fri 13/05/16        | Thu 19/05/16        |      |     |     |     |     |      |     |     |     |     |      |     |     |     |     |     |     |     |     |     |     |     |     |
| 398 | Appointments                                 | Fri 20/05/16        | Thu 07/07/16        |      |     |     |     |     |      |     |     |     |     |      |     |     |     |     |     |     |     |     |     |     |     |     |
| 399 | Repairs diagnostics                          | Fri 08/07/16        | Fri 08/07/16        |      |     |     |     |     |      |     |     |     |     |      |     |     |     |     |     |     |     |     |     |     |     |     |
| 400 | PCOL                                         | Mon 11/07/16        | Mon 11/07/16        |      |     |     |     |     |      |     |     |     |     |      |     |     |     |     |     |     |     |     |     |     |     |     |
| 401 |                                              |                     |                     |      |     |     |     |     |      |     |     |     |     |      |     |     |     |     |     |     |     |     |     |     |     |     |
| 402 | <b>Account Management Handover (Phase 2)</b> | <b>Tue 12/07/16</b> | <b>Tue 19/07/16</b> |      |     |     |     |     |      |     |     |     |     |      |     |     |     |     |     |     |     |     |     |     |     |     |



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|                                                       |           |  |                    |  |                    |  |                       |  |          |  |
|-------------------------------------------------------|-----------|--|--------------------|--|--------------------|--|-----------------------|--|----------|--|
| Project: OH Implementation Plan<br>Date: Wed 16/04/14 | Task      |  | Project Summary    |  | Inactive Milestone |  | Manual Summary Rollup |  | Progress |  |
|                                                       | Split     |  | External Tasks     |  | Inactive Summary   |  | Manual Summary        |  | Deadline |  |
|                                                       | Milestone |  | External Milestone |  | Manual Task        |  | Start-only            |  |          |  |
|                                                       | Summary   |  | Inactive Task      |  | Duration-only      |  | Finish-only           |  |          |  |



## Quarterly Benchmarking 2013/14

| Benchmarking Group |                                                                                                                       |
|--------------------|-----------------------------------------------------------------------------------------------------------------------|
| Stock Size         | 2500 - 5000                                                                                                           |
| Region             | East, East Midlands, London, North East, North West, South East, South West, Wales, West Midlands, Yorkshire & Humber |
| Organisation Type  | Districts                                                                                                             |
| Organisations      | Adur DC                                                                                                               |
|                    | Barrow-in-Furness BC                                                                                                  |
|                    | Broxtowe BC                                                                                                           |
|                    | East Devon DC                                                                                                         |
|                    | Lancaster City Council                                                                                                |
|                    | Mid Devon DC                                                                                                          |
|                    | North Kesteven DC                                                                                                     |
|                    | North Warwickshire BC                                                                                                 |
|                    | North West Leicestershire DC                                                                                          |
|                    | South Derbyshire DC                                                                                                   |
|                    | Tamworth BC                                                                                                           |
|                    | Waveney DC                                                                                                            |

## PI's in the top quartile for Quarter 3

| Description                                                                                                                           |
|---------------------------------------------------------------------------------------------------------------------------------------|
| Voluntary staff turnover                                                                                                              |
| Total Staff Turnover                                                                                                                  |
| Percentage of emergency repairs completed within target time                                                                          |
| Percentage of residents satisfied with the most recent repair (when surveyed in accordance with the organisation's own survey format) |
| Former tenant arrears as a percentage of the annual rent debit                                                                        |
| Rent collected as a percentage of rent owed (excluding arrears b/f)                                                                   |
| Former tenant arrears as a percentage of the annual rent debit                                                                        |
| Percentage of closed ASB cases that were resolved                                                                                     |
| Percentage of dwellings that are vacant and available to let                                                                          |
| Average re-let time in days (standard re-lets)                                                                                        |
| Average re-let time of all re-lets (including any time spent in works)                                                                |
| Percentage of properties accepted on first offer                                                                                      |
| Percentage of dwellings that are vacant and available to let                                                                          |
| Average re-let time in days (standard re-lets)                                                                                        |
| Average re-let time of all re-lets (including any time spent in works)                                                                |
| Percentage of properties accepted on first offer                                                                                      |
| Percentage of properties accepted on first offer                                                                                      |

Mae tudalen hwn yn fwriadol wag

# Housing Services

## Lettable Standard 2012

**Developed**  
 with tenants

# Contents

|                           |
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| 1. Introduction           |
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| 2.6 Kitchens              |
| 2.7 Windows & Doors       |
| 2.8 Floors                |
| 2.9 Walls                 |
| 2.10 Dampness             |
| 2.11 Tenants Improvements |
| 2.12 Decorations          |

| Lettable Standard (Annually) |               |                      |
|------------------------------|---------------|----------------------|
| NAME                         | DATE          | VERSION              |
| Steve Collins                | November 2011 | First Draft Produced |
| Steve Collins                | February 2012 | February 2013        |
|                              |               |                      |
|                              |               |                      |

# LETTABLE STANDARD

## 1. Introduction

This is a standard you can expect when moving into one of our properties. Our Void Lettable Standard was agreed in consultation with tenants and sets out the minimum works we will carry out before we let a property.

At Denbighshire County Council we believe our properties should be clean and in a good state of repair. The Maintenance Team Leader or another suitably qualified person will have inspected the property to ensure that the Lettable Standard, listed below, has been met.

These standards make sure that all repairs needed to make a home fit to live in are completed before a tenant moves in. There maybe some non-urgent repairs that do not pose a risk to health and safety that will be completed after a tenant has moved into the property. Tenants will be informed of these before they move into their new home and given the likely timescale when the jobs will be completed. Tenants should contact Customer services if a non-urgent repair has not been completed within the given time scales.

## 2. Minimum Standard

### 2.1 External

The property must appear to be free from any structural movement or major defects that may represent a risk to new tenants, neighbours or third parties.

- The roof shall be intact without any missing, cracked or slipped tiles, slates or ridge tiles.
- The brickwork, render and external joinery should be of a sound structural nature showing no signs of major defects.
- Rain water goods and drains to be fully functional and visually checked for any defects.
- The damp proof course (DPC) level to be inspected to ensure external walls are clear of any obstacles, mounds of earth, etc, which could cause rise to penetrative or rising damp internally by breaching of the DPC. Wherever noted, this shall be removed.
- External paths and patio areas, drives and hard standing for parking a car on are to be free from tripping hazards.
- Any damaged satellite or terrestrial aerials to be removed, along with any external DIY coaxial wiring. ( Visual check only)

- Any damaged garden structures considered not safe or of benefit to the incoming tenant will be removed. The base will be left as long as it isn't dangerous and will become the responsibility of the new tenant.
- Fences and gates should be inspected for safe installation and be free from damage. Boundaries, whether fences or walls, are continuous and in a reasonable and safe condition. Where possible we will provide a plan showing your boundary responsibilities and the area of your garden.
- Gardens should be cleared of all rubbish and left in a maintainable condition.
- Trees, tall hedges, including Leylandii, will be reduced and left in a maintainable condition or removed.
- Planters and garden features left by the previous tenant will be left in place provided they are not in a dangerous condition and will become the responsibility of the new tenant.

## 2.2 Security

The property must be able to be fully secured by means of adequate door and window locks.

- New front and rear door locks will be fitted, we will provide 2 keys per lock and, where appropriate, a minimum of 2 window keys.
- Where appropriate, ensure suited locks match the scheme system (e.g. in sheltered accommodation)

## 2.3 Cleanliness

The property must be clear of the previous tenants' belongings and left in a clean and acceptable condition. Such condition shall be determined by the Housing Maintenance Team Leader but shall be fair and reasonable. The property should be swept throughout, and all rubbish removed.

- White goods will be removed from the property.
- All rubbish, carpets, furniture etc should be removed including clearance of the loft spaces and outbuildings with floors swept and left ready for recovering. *(Where carpets have been left in place by the previous tenant, are well fitted, in prime condition and may benefit the incoming tenant, these shall be left in position. Where carpets are removed, all gripper rods, threshold strips and any excessive surface adhesive should also be removed).*
- Particular attention should be given to kitchen work surfaces, tiles and splashbacks, kitchen cupboards, storerooms, bathrooms and toilet areas they should be thoroughly cleaned to remove grease, mould, dirt and dust.

- All DIY works deemed inappropriate, unsafe or surplus to the requirements of the incoming tenant, unless otherwise directed, will be removed from the property.

## 2.4 Health and Safety

It is of paramount importance to ensure that when a property becomes empty, certain minimum health and safety measures are implemented to ensure the integrity of both the electrical and gas installations at the property. Good practice to ensure residents or their visitors health and safety are not compromised shall be as follows, the new tenant will be provided with the relevant current safety certificates and any associated documentation.

Gas: (Testing is subject to supply being available)

### Other Checks

- Check all banisters and fitted handrails are secure and firmly fixed, and that no obvious and visible sign of damage is apparent.
- Where PVCu windows have been fitted, it is important to ensure that the restrictors are operational to the first floor windows, and that the designated egress window in the event of an emergency is adequately identified and marked. (Green Button). A rod for opening, trickle vents will be supplied were appropriate.
- Where floor coverings have been removed, or are to be removed, floor boards and fitted coverings should be inspected to ensure they are secure, without signs of distress or possible imminent failure.
- Where fitted, hard wired smoke detectors and careline equipment should be checked to ensure it is fully operational and functional, with any battery detectors fitted by the previous resident removed from site.
- It is the new tenant's responsibility to arrange for a gas and electricity supply, and arrange if they wish a new meter of their choice.
- We do not supply standard light bulbs or florescent tubes.

## 2.5 Sanitary Goods

- All installations for the supply of water and sanitation should be in good repair and working order. All taps and plugs should be operational. WCs should have a secure seat and lid, and should flush correctly. Sinks, WCs, baths, shower trays and wash hand basins should all be firmly fixed in position and be free from chips, leaks and bad staining. Any required replacements of sanitary goods should match existing wherever possible; however any replacements will be provided in white.

## 2.6 Kitchens

- The kitchen will have space for a cooker (either gas or electric point) and a fridge or a tall fridge / freezer. Where there is sufficient space within the kitchen, there will be plumbing for an automatic washing machine; this will not be provided where there are communal laundry facilities.

## 2.7 Windows and Doors

- All windows and doors shall be checked for: ease of operation, lubricated, with handles fully tightened as required.
- Double glazed units should be inspected for misting or cracks and replaced as required, conforming where appropriate with safety glass.
- All internal doors shall, open and close with ease and have functional door furniture fitted. Minimal damage should be made good, rather than replacing the whole door.

## 2.8 Floors

- Any loose or defective flooring should be secured or replaced as needed. Missing vinyl tiles shall be replaced to match as near as possible existing. Vinyl sheet covering should be sound and free from signs of damage.

## 2.9 Walls

- Loose and defective plaster shall be made good. Missing wall tiles should be replaced where possible to match existing.

## 2.10 Condensation

- Any major condensation damage should be treated with a proprietary fungal wash.

## 2.11 Tenants Improvements

- It is permissible for good quality improvements effected by the previous tenant to be retained: provided that the items are safe and in good condition and have been agreed in writing by the Housing Service, as ultimately we will assume responsibility for their future repair and maintenance from commencement of the new tenancy.

## 2.12 Decorations

- A decorating voucher will be provided by the Housing Estate Officer where the decoration is considered sub standard to assist the tenant in redecorating. This will be considered on a room by room basis.



What to do if any of the work mentioned has not been done?

| Reporting Repairs        |                                                                                                                  |
|--------------------------|------------------------------------------------------------------------------------------------------------------|
| E-mail                   | <a href="mailto:Customerservice@denbighshire.gov.uk">Customerservice@denbighshire.gov.uk</a>                     |
| Write                    | Housing Services<br>Denbighshire County Council 64 Brighton Road<br>Rhyl LL18 3HN                                |
| Telephone                | 01824- 706101                                                                                                    |
| Website                  | <a href="http://www.denbighshire.gov.uk/customerservicecentre">www.denbighshire.gov.uk/customerservicecentre</a> |
| Out of Hours Emergencies | 01745-351205                                                                                                     |

Mae tudalen hwn yn fwriadol wag

# Housing Services Performance Framework

## 01 April 2014

Equality Impact Assessment

## <Title of the proposal being assessed>

**Contact:** Peter McHugh - Head of Housing and  
Community Development Services  
**Updated:** 01.04.14

### 1. What type of proposal / decision is being assessed?

A strategic or service plan

### 2. What is the purpose of this proposal / decision, and what change (to staff or the community) will occur as a result of its implementation?

The performance framework should support the delivery service improvement plans and deliver better performance and better outcomes for customers.

### 3. Does this proposal / decision require an equality impact assessment? If no, please explain why.

*Please note: if the proposal will have an impact on people (staff or the community) then an equality impact assessment **must** be undertaken*

<Please Select>

Diversity and Equalities issues form a component part of the team operational plans therefore a separate Equalities Impact Assessment is not required.

### 4. Please provide a summary of the steps taken, and the information used, to carry out this assessment, including any engagement undertaken

*(Please refer to section 1 in the toolkit for guidance)*

Diversity and Equality issues are reviewed on at least a quarterly basis as part of the performance sugery.

### 5. Will this proposal / decision have a positive impact on any of the protected characteristics (age; disability; gender-reassignment; marriage and civil partnership; pregnancy and maternity; race; religion or belief; sex; and sexual orientation)?

*(Please refer to section 1 in the toolkit for a description of the protected characteristics)*

A key part of the Community Housing Service Improvement Plan is to collect

tenant profiling information for all of our tenants which shall enable the service to be customised to the needs of the individual or family.

**6. Will this proposal / decision have a disproportionate negative impact on any of the protected characteristics (age; disability; gender-reassignment; marriage and civil partnership; pregnancy and maternity; race; religion or belief; sex; and sexual orientation)?**

No

**7. Has the proposal / decision been amended to eliminate or reduce any potential disproportionate negative impact? If no, please explain why.**

<Please Select> Not applicable

**8. Have you identified any further actions to address and / or monitor any potential negative impact(s)?**

<Please Select> Not applicable

| Action(s)                                      | Owner        | By when?   |
|------------------------------------------------|--------------|------------|
| <Please describe>                              | <Enter Name> | <DD.MM.YY> |
| <Please describe>                              | <Enter Name> | <DD.MM.YY> |
| <Please describe>                              | <Enter Name> | <DD.MM.YY> |
| <Please describe>                              | <Enter Name> | <DD.MM.YY> |
| <Unrestrict editing to insert additional rows> | <Enter Name> | <DD.MM.YY> |

**9. Declaration**

Every reasonable effort has been made to eliminate or reduce any potential disproportionate impact on people sharing protected characteristics. The actual impact of the proposal / decision will be reviewed at the appropriate stage.

Review Date: 01/04/14

| Name of Lead Officer for Equality Impact Assessment | Date     |
|-----------------------------------------------------|----------|
| Peter McHugh                                        | 15/04/14 |

**Please note you will be required to publish the outcome of the equality impact assessment if you identify a substantial likely impact.**

Mae tudalen hwn yn fwriadol wag

|                                 |                                                           |
|---------------------------------|-----------------------------------------------------------|
| <b>Adroddiad i'r:</b>           | <b>Pwyllgor Archwilio Perfformiad</b>                     |
| <b>Dyddiad y Cyfarfod:</b>      | <b>1 Mai 2014</b>                                         |
| <b>Aelod/Swyddog Arweiniol:</b> | <b>Pennaeth Gwella Busnes a Moderneiddio</b>              |
| <b>Awdur yr Adroddiad:</b>      | <b>Swyddog Gwella Corfforaethol</b>                       |
| <b>Teitl:</b>                   | <b>Adolygu'r Gofrestr Risg Corfforaethol, Ebrill 2014</b> |

---

## **1. Am beth mae'r adroddiad yn sôn?**

1.1 Adolygiad ffurfiol Ebrill 2014 i'r Gofrestr Risg Corfforaethol.

## **2. Beth yw'r rheswm dros lunio'r adroddiad hwn?**

2.1 Cyflwyno fersiwn diweddaraf o'r Gofrestr Risg Corfforaethol i'r Pwyllgor Archwilio Perfformiad, fel y cytunwyd yng nghyfarfod Briffio'r Cabinet.

## **3. Beth yw'r argymhellion?**

3.1 Bod y Pwyllgor Archwilio Perfformiad yn nodi'r dileadau, ychwanegiadau a newidiadau i'r Gofrestr Risg Corfforaethol ac yn cael cyfle i wneud sylwadau.

## **4. Manylion am yr Adroddiad**

4.1 Mae'r Gofrestr Risg Corfforaethol yn galluogi'r cyngor i reoli'r tebygolrwydd ac effaith y risgiau mae'n eu hwynebu trwy werthuso effaith unrhyw gamau lliniaru cyfredol, a chofnodi terfynau amser a chyfrifoldebau ar gyfer camau pellach a ddylai alluogi rheolaeth dynnach.

4.2 Mae'r Gofrestr Risg Corfforaethol wedi cael ei datblygu gan, ac yn eiddo i'r Tîm Gweithredol Corfforaethol (CET) a'r Cabinet. Mae'r broses ar gyfer adolygu'r Gofrestr Risg Corfforaethol fel a ganlyn:

- Anogir gwasanaethau i adolygu eu cofrestr risg ddwywaith y flwyddyn (yn unol â methodoleg Rheoli Risg Corfforaethol) cyn pob adolygiad o'r Gofrestr Risg Corfforaethol, a hefyd cyn eu cyfarfodydd Herio Perfformiad Gwasanaeth. Bydd unrhyw faterion neu ymholiadau yn cael eu trafod yn y cyfarfodydd Herio Perfformiad Gwasanaethau.
- Mae'r Tîm Gwelliant Corfforaethol yn dadansoddi cofrestr risg pob gwasanaeth i ganfod risgiau sy'n arwyddocaol yn gorfforaethol neu unrhyw themâu risg sy'n ymddangos ar draws y gwasanaethau.
- Mae'r diweddariadau am risgiau corfforaethol cyfredol yn cael eu casglu gan berchnogion y risg, a diweddariadau am weithredoedd i liniaru yn cael eu casglu gan y rhai sy'n cyflawni'r gweithredoedd.

- Cynhelir cyfarfodydd unigol gyda'r Prif Weithredwr a phob Cyfarwyddwr Corfforaethol, i drafod y risgiau maent yn gyfrifol amdanynt. Ystyrir a yw'r risg yn parhau, a yw'r sgôr yn gywir, ac a oes angen cynnwys unrhyw risgiau newydd o dan eu hawdurdodaeth.
  - Trafodir drafft newydd o'r Gofrestr Risg Corfforaethol gyda'r Cabinet a'r CET i adolygu risgiau cyfredol; trafod cynnydd ar weithredoedd lliniaru a gytunwyd arnynt; trafod a chytuno ar risgiau corfforaethol newydd; adolygu a diweddarau sgôr risgiau sy'n weddill; diweddarau rheolyddion sydd eisoes yn bodoli (yn dilyn gweithredoedd sydd wedi'u cwblhau); a chytuno ar unrhyw weithredoedd newydd sydd eu hangen i liniaru'r risg.
- 4.3 Mae'r Gofrestr Risg Corfforaethol yn cael ei hadolygu'n ffurfiol ddwywaith y flwyddyn gan y Cabinet a'r CET. Ond, bydd unrhyw risgiau newydd neu risgiau cynyddol yn cael eu hadrodd i'r Tîm Gweithredol Corfforaethol (drwy'r Tîm Gwelliant Corfforaethol) pan fyddant yn cael eu canfod. Yna bydd y Tîm Gweithredol Corfforaethol yn penderfynu a ddylid cynnwys y risg yn y Gofrestr Risg Corfforaethol.
- 4.4 Yn dilyn pob adolygiad ffurfiol o'r Gofrestr Risg Corfforaethol (ddwywaith y flwyddyn), mae'r ddogfen sydd wedi'i hadolygu'n cael ei chyflwyno i'r Pwyllgor Archwilio Perfformiad.
- 4.5 Mae gweithredoedd a benderfynir arnynt er mwyn delio â risgiau corfforaethol yn cael eu cynnwys mewn Cynlluniau Gwasanaethau (ble bo'n briodol), sy'n galluogi Aelodau Archwilio Perfformiad i fonitro cynnydd. Dylid amlygu unrhyw faterion perfformiad mewn perthynas â chynnal y digwyddiadau fel rhan o broses Herio Perfformiad Gwasanaeth.
- 4.6 Mae Archwilio Mewnol y Cyngor yn darparu sicrwydd annibynnol ar effeithiolrwydd dulliau rheoli mewnol a'r mecanwaith sydd wedi'u gosod er mwyn lliniaru risgiau ar draws y cyngor. Mae hefyd yn cynnig her annibynnol i sicrhau bod egwyddorion a gofynion rheoli risg yn cael eu defnyddio'n gyson ym mhob rhan o'r cyngor. Mae Gwasanaethau Archwilio Mewnol hefyd yn defnyddio gwybodaeth o gofrestrau risg corfforaethol a gwasanaethau er mwyn penderfynu ar eu rhaglen gwaith i'r dyfodol.
- 4.7 Bydd adolygiad blynyddol ac adroddiad ar gynnydd polisi rheoli risg, (wedi'i gynhyrchu gan y Pwyllgor Llywodraethu Corfforaethol) yn adnabod manau gwan sydd angen eu cryfhau i wella'r broses o reoli risg.
- 5. Sut mae'r penderfyniad yn cyfrannu at y Blaenoriaethau Corfforaethol?**
- 5.1 Pwrpas y Gofrestr Risg Corfforaethol yw adnabod digwyddiadau posibl yn y dyfodol all gael effaith niweidiol ar allu'r cyngor i gyflawni'r amcanion, gan gynnwys y blaenoriaethau corfforaethol. Felly mae'r rheolyddion a'r gweithredoedd yn angenrheidiol ar gyfer cyflawni'r blaenoriaethau corfforaethol.



## **6. Faint fydd hyn yn ei gostio a sut bydd yn effeithio ar wasanaethau eraill?**

6.1 Mae cost datblygu, monitro ac adolygu'r Gofrestr Risg Corfforaethol yn cael ei gynnwys yn y cyllidebau cyfredol.

## **7. Beth yw prif gasgliadau'r Asesiad o Effaith ar Gydraddoldeb a gynhaliwyd am y penderfyniad?**

7.1 Mae'r Gofrestr Risg Corfforaethol yn cofnodi risgiau sydd wedi'u canfod, a'r gweithredoedd lliniaru cyfredol ac arfaethedig. Nid yw'r broses o ddatblygu ac adolygu'r ddogfen ei hun yn cael effaith andwyol ar bobl gyda rhinweddau wedi'u diogelu. Ond, dylid asesu effaith ar gydraddoldeb unrhyw broses, strategaeth neu bolisi newydd sy'n cael eu ffurfio o ganlyniad i weithred lliniaru.

## **Pa ymgynghori a wnaed gyda'r Pwyllgorau Archwilio ac eraill?**

8.1 Mae manylion y broses ymgynghori i adolygu'r Gofrestr Risg Corfforaethol wedi'u cynnwys ym mharagraff 4.2.

## **9. Datganiad y Prif Swyddog Cyllid**

9.1 Nid oes unrhyw oblygiadau ariannol yn codi o'r broses sydd wedi'i hamlinellu yn yr adroddiad hwn i ddatblygu, monitro ac adolygu'r Gofrestr Risg Corfforaethol.

## **10. Beth yw'r risgiau ac a oes yna unrhyw beth y gallwn ei wneud i'w lleihau?**

10.1 Y prif risg sy'n gysylltiedig â'r broses o reoli risg yw nad yw'r cofrestrau'n cael eu hadolygu'n rheolaidd ac felly nid ydynt yn erfyn rheoli ystyrlon a dynamig. Ond, mae'r broses newydd wedi'i chynnwys yn llawn yn fframwaith rheoli perfformiad y cyngor a ddylai sicrhau nad yw hyn yn digwydd.

## **11. Pŵer i wneud y Penderfyniad**

11.1 Deddf Llywodraeth Leol 2000.

11.2 Erthyglau 6.1 o Gyfansoddiad y Cyngor.

### **Swyddog Cyswllt:**

Swyddog Gwella Corfforaethol

Ffôn: 07810 055 413

Mae tudalen hwn yn fwriadol wag

### The main changes made to the Corporate Risk Register are listed below:

- i) Revision to DCC001. Definition made more explicit by referring to the level of severity being considered in relation to this risk '*The risk of a serious safeguarding error where the council has responsibility, resulting in serious injury or death*'. The mitigating actions have been updated to reflect the establishment of the Corporate Safeguarding Committee, and it's noted that further mitigation is likely to be occur once the national report on Safeguarding is received from the Wales Audit Office.
- ii) Revision to DCC004: '*The risk that the HR framework doesn't support the organisation's aims*'. Mitigating actions have been updated to note that a new CRM is now in place; Middle Managers are being consulted with; and feedback is being used to improve the transactional service, with apparent success. Strategically, some development's still required. This will happen as part of the 'Selecting Talent and Developing Potential' project. The inherent and residual risks scores remain identical at the moment. Although it's felt the risk has reduced, it hasn't done so sufficiently to change the score yet.
- iii) Revision to DCC006: '*The risk that the economic and financial environment worsens beyond current expectations, leading to additional demand on services and reduced income*'. One new mitigating action has been added regarding the Freedom & Flexibilities approach to budget-setting. It's suggested the inherent risk score stays the same at A1, but the residual risk score has reduced from C1 to C2 based on the fact that the likelihood is reduced (as we are better placed to manage the reduced income).
- iv) Revision to DCC007: '*The risk that critical or confidential information is lost or disclosed*'. Existing mitigating actions have been added: Information Strategy now in place, the Strategic Information Risk Officer reviews security breaches, SLT and Corporate Governance are trained in Information Security, and we have enforced the encryption of removable media devices. We consider that all of these steps have reduced the Residual Risk score from a C3 to D3, but further mitigating actions are also identified, including: the addition of a new Information Security Policy, changes to the Corporate Stores, and the rollout of corporate Information Security training via e-learning.
- v) No change to DCC011: '*The risk of a severe weather, contamination, or public health event*'. Although processes are planned that should mean we're better able to respond to a crisis, it's suggested that the Residual Risk score remains the same until the mitigating actions are complete. Hopefully this score can be reduced at the next review.
- vi) Revision to DCC012: '*The risk of a significantly negative report(s) from external regulators*'. No change to the score here, but the further mitigating action column has updated to refer to the recent merger of the Annual Governance Statement and the Corporate Self-Assessment, which will be

approved and published by June.

- vii) Revision to DCC013: *'The risk of significant financial and reputational liabilities resulting from management of some Arm's Length organisations'*. There are two new mitigating actions here: one based on developing our response to Internal Audit's recommendations regarding our management of Arm's Length organisations (the report was not yet produced at the time of writing), and another referring to the review of the Clwyd Leisure situation (particularly the lessons learned). Note, although Clwyd Leisure issues that we are dealing with only pose reputational risks now, we don't feel that our controls in this area are yet sufficiently strong to justify reducing the Residual Risk score.
- viii) No change to DCC014: *'The risk of a health & safety incident resulting in serious injury or the loss of life'*.
- ix) Revision to DCC016: *'The risk that the impact of welfare reforms is more significant than anticipated by the council'*. It's acknowledged that Corporate Governance is still to be updated regarding the Welfare Reform Group's structure and activity. Council are also to be briefed about the pressures facing the council and the work of the group.
- x) Revision to DCC017: *'The risk that the ICT framework does not meet the organisation's needs'*. There's been substantial change regarding the management of this risk since this Register was last reviewed, including a restructure so that ICT now sits under Business Improvement & Modernisation; a change in the section's leadership; and the progress of a hardware rollout. Further mitigating actions to be completed include the delivery of the MS Enterprise software and the development of a telephony strategy. Although significant and confidence-building, the framework itself is still in development, hence the score hasn't yet been downgraded. However, once the fundamental elements of hardware, software and telephony are in place (supported by a rolling cycle of renewal) this risk might be eliminated.
- xi) Revision to DCC018: Formerly worded, *'The risk that change/modernisation programme and project benefits are not fully realised'*, this risk now reads, *'The risk that programme and project benefits are not fully realised'* – widening focus from the Modernisation programme to all projects and programmes within the council. It's suggested that the Residual Risk score increases here from a C2 to a B2. This is for two reasons: i) we don't feel confident that the controls we have in place are sufficient for ensuring benefits are realised, and ii) increasing financial pressures mean we have to demonstrate and extract value for money. Three mitigating actions have been suggested, namely: developing a corporate handbook containing guidance for managing change, developing a proposal for managing the delivery of project benefits, and ensuring Programme Boards' progress is updated to CET quarterly.
- xii) No change to DCC019: *'The risk that the availability of the Welsh Government's match-funding contribution towards Band A of the 21st Century Schools programme is not in line with the timescales for Denbighshire's work*

*programme*'. It should be noted that business cases submitted to the Welsh Government have met with approval, all of which suggests that our approach to managing the programme is good.

xiii) Removal of DCC020: *'The risk that the review by The Commission on Public Service Governance and Delivery negatively affects Denbighshire'*. Given that we don't foresee any short-term changes and are continuing to go about our business as usual, we think our position is quite stable and currently does not pose a risk. Further clarity will be achieved once the Welsh Government responds to the Williams Report. This might result in the risk being reinstated, but it's not something that we need to respond to at the moment.

xiv) DCC021: *'The risk that effective partnerships and interfaces between BCU Health Board and Denbighshire County Council (DCC) do not develop, leading to significant misalignment between the strategic and operational direction of BCU and DCC'*. It's acknowledged here that a new Chief Executive has been appointed for BCUHB, but is yet to take up his post. Until in post, this risk level remains the same. Regional meetings between the North Wales local authorities and the Health Board are arranged from 6 May.

Mae tudalen hwn yn fwriadol wag

Denbighshire County Council  
2012 - 2013

Corporate Risk Register

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Inherent | Residual | Page                 |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|----------|----------------------|
| <b>DCC001</b> The risk of a serious safeguarding error where the council has responsibility, resulting in serious harm or death. This risk is increasing as the environment is changing, with growing expectations around our duties in relation to 3rd party provision. CRB criteria are                                                                                                                                                                                                                                                                                                                                                                          | B2       | C2       | <a href="#">Link</a> |
| <b>DCC004</b> The risk that the HR framework doesn't support the organisation's aims. The policies and procedures we have in place need to reflect current organisational strategy (e.g. flexible working), and HR need to offer support for those functions where the organisation requires it (e.g. restructures)                                                                                                                                                                                                                                                                                                                                                | B2       | B2       | <a href="#">Link</a> |
| <b>DCC006</b> The risk that the economic and financial environment worsens beyond current expectations, leading to additional pressure on services and reduced income. The forthcoming settlement is lower than originally anticipated, and may only be relevant for 1 year, affecting our ability to effectively plan for the medium term                                                                                                                                                                                                                                                                                                                         | A1       | C2       | <a href="#">Link</a> |
| <b>DCC007</b> The risk that critical or confidential information is lost or disclosed.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | B3       | C3       | <a href="#">Link</a> |
| <b>DCC017</b> The risk that the ICT framework does not meet the organisation's needs. If we do not invest in appropriate technology at the right price, this will hinder our capability to deliver the efficiencies and savings required for the Modernisation priority. The main risk here is around the organisation taking decisions to invest in IT infrastructure that is not effective in reducing overheads. This can happen for two reasons: 1) we don't understand the current and necessary ICT requirements, and 2) we don't accurately predict the anticipated benefits. This risk might also occur as a missed opportunity to capitalise on effective | B2       | C2       | <a href="#">Link</a> |
| <b>DCC011</b> The risk of a severe weather, contamination, or public health event. Services plan for the impact of expected seasonal variations in weather, but severe weather events can impact on service delivery. Similarly, we put plans in place to monitor food, water and air quality,                                                                                                                                                                                                                                                                                                                                                                     | D2       | D2       | <a href="#">Link</a> |
| <b>DCC012</b> The risk of a significantly negative report(s) from external regulators.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | C2       | D3       | <a href="#">Link</a> |
| <b>DCC013</b> The risk of significant financial and reputational liabilities resulting from management of some Arm's Length organisations. Liabilities could arise due to financial, HR, safeguarding, or general                                                                                                                                                                                                                                                                                                                                                                                                                                                  | B2       | B3       | <a href="#">Link</a> |
| <b>DCC014</b> The risk of a health & safety incident resulting in serious injury or the loss of life. This could be as a result of an ineffective H&S management system; inadequate fire control systems (infrastructure);                                                                                                                                                                                                                                                                                                                                                                                                                                         | C2       | E2       | <a href="#">Link</a> |
| <b>DCC016</b> The risk that the impact of welfare reforms is more significant than anticipated by the council. Welfare reform has potentially significant implications for a large proportion of residents, and also on the council                                                                                                                                                                                                                                                                                                                                                                                                                                | B2       | B3       | <a href="#">Link</a> |
| <b>DCC018</b> The risk that programme and project benefits are not fully realised. The council currently does consistently deliver all benefits from projects. Some of the issues include: inconsistent management;                                                                                                                                                                                                                                                                                                                                                                                                                                                | B2       | B2       | <a href="#">Link</a> |
| <b>DCC019</b> The risk that the availability of the Welsh Government's match-funding contribution towards Band A of the 21st Century Schools programme is not in line with the timescales for Denbighshire's work                                                                                                                                                                                                                                                                                                                                                                                                                                                  | B2       | C2       | <a href="#">Link</a> |
| <b>DCC020</b> The risk that the review by The Commission On Public Service Governance And Delivery negatively affects Denbighshire. This review was announced by the First Minister in April 2013 <sup>2</sup> and                                                                                                                                                                                                                                                                                                                                                                                                                                                 | C1       | C1       | <a href="#">Link</a> |



**DCC021** The risk that effective partnerships and interfaces between BCU Health Board and Denbighshire County Council (DCC) do not develop. This could leading to significant misalignment between the



[Link](#)

**#REF!** The risk that performance against our priorities at 2017 is not in line with expectations of our politicians



[Link](#)



## Risk Assessment Criteria

| LIKELIHOOD          | Event is almost certain to occur in most circumstances     | >70%                                                                     | Almost Certain                                                    | A                                                               |                                                                  |     |        |      |           |  |
|---------------------|------------------------------------------------------------|--------------------------------------------------------------------------|-------------------------------------------------------------------|-----------------------------------------------------------------|------------------------------------------------------------------|-----|--------|------|-----------|--|
|                     | Event likely to occur in most circumstances                | 30-70%                                                                   | Likely                                                            | B                                                               |                                                                  |     |        |      |           |  |
|                     | Event will possibly occur at some time                     | 10-30%                                                                   | Possible                                                          | C                                                               |                                                                  |     |        |      |           |  |
|                     | Event unlikely and may occur at some time                  | 1-10%                                                                    | Unlikely                                                          | D                                                               |                                                                  |     |        |      |           |  |
|                     | Event rare and may occur only in exceptional circumstances | <1%                                                                      | Rare                                                              | E                                                               |                                                                  |     |        |      |           |  |
|                     |                                                            |                                                                          |                                                                   |                                                                 | 5                                                                | 4   | 3      | 2    | 1         |  |
|                     |                                                            |                                                                          |                                                                   |                                                                 | Very Low                                                         | Low | Medium | High | Very High |  |
| Service Performance | Minor errors or disruption                                 | Some disruption to activities / customers                                | Disruption to core activities / customers                         | Significant disruption to core activities. Key targets missed   | Unable to deliver core activities. Strategic aims compromised    |     |        |      |           |  |
| Reputation          | Trust recoverable with little effort or cost               | Trust recoverable at modest cost with resource allocation within budgets | Trust recovery demands cost authorisation beyond existing budgets | Trust recoverable at considerable cost and management attention | Trust severely damaged and full recovery questionable and costly |     |        |      |           |  |
| Financial Cost (£)  | <£50k                                                      | £50k - £250k                                                             | £250k - £1m                                                       | £1m - £5 m                                                      | >£5m                                                             |     |        |      |           |  |
| IMPACT              |                                                            |                                                                          |                                                                   |                                                                 |                                                                  |     |        |      |           |  |

### Corporate Risk Severity Key



Minor Risk easily managed locally – no need to involve management



Moderate Risk containable at service level – senior management and SLT may need to be kept informed



Major Intervention by SLT and / or CET with Cabinet involvement



Critical Significant CET and Cabinet intervention

## Denbighshire County Council

Register Owner: Corporate Executive Team

[LINK TO POLICY STATEMENT](#)

Updated: 13.03.2014

[LINK TO RISK GUIDANCE](#)

| Risk Description                                                                                                                                                                                                                                                                                                                                                                                              | Owner                                 | Impact / Consequence                                                                                                                                                                                                                                                                                              | Inherent Risk | Controls to Manage Risk (in place)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Residual Risk | Further Actions                                                                                                                                                                                                            | Action Owner    | Action Date |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|-------------|
| DCC001<br><i>Professional / Managerial</i>                                                                                                                                                                                                                                                                                                                                                                    | Nicola Stubbins                       | Significant reputational loss.<br>Possible intervention by Welsh Government. Legal/compensation costs.                                                                                                                                                                                                            | B2            | Child protection & Safeguarding Procedures.<br>Regular training of staff in Children & Family Services.<br>Corporate Safeguarding Training Programme.<br>Wales Interim Policy & Procedures for the Protection of Vulnerable Adults from Abuse.<br>Framework of self-assessment for schools in relation to safeguarding has been established.<br>Section 28 Audits, and annual reporting requirement for services to demonstrate how they are discharging their duties in relation to safeguarding.<br>Section 28 audit tool in place for voluntary sector to ensure safeguarding practices are in place.<br>Compliance with safeguarding practises is part of the annual HR audit of schools.<br>% of staff (school and non-school) requiring a CRB check and/or references that have them in place' is built into HR's service plan.<br>Corporate Safeguarding Group established with representation | C2            | WAO has recently conducted a national review around the governance of Safeguarding. Report due, which will contain DCC-specific and more general recommendations. DCC to review its position once this report is available | Nicola Stubbins | 31-Jul-14   |
| <b>The risk of a serious safeguarding error where the council has responsibility, resulting in serious harm or death.</b> This risk is increasing as the environment is changing, with growing expectations around our duties in relation to 3rd party provision. CRB criteria are also changing which may increase the risk. The 'at risk' group is not limited to children here; adults and vulnerable too. | Lead Member(s):<br>Cllr Bobby Feeley  |                                                                                                                                                                                                                                                                                                                   |               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |               | Corporate training to be prepared                                                                                                                                                                                          | Leighton Rees   | 01-May-14   |
| DCC004<br><i>Professional / Managerial</i>                                                                                                                                                                                                                                                                                                                                                                    | Rebecca Maxwell                       | The council is unable to deliver the associated savings incorporated into the MTFP through the Modernisation priority if our policies don't support proposed strategy. Organisational functions such as restructures might be slow to progress or even violate employment law if our managers are not effectively | B2            | There's a CRM in place in HR Direct to enhance efficiency and provide improved management information to identify areas of common enquiry. Middle Managers are being consulted with regarding their experience of the service, and further improvements will be made.<br>Workforce Planning is now                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | B2            | New strategic approach to 'Selecting Talent and Developing Potential' being developed for approval by SLT                                                                                                                  | Linda Atkin     | 31-May-14   |
| <b>The risk that the HR framework doesn't support the organisation's aims.</b> The policies and procedures we have in place need to reflect current organisational strategy (e.g. flexible working), and HR                                                                                                                                                                                                   | Lead Member(s):<br>Cllr Barbara Smith |                                                                                                                                                                                                                                                                                                                   |               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |               |                                                                                                                                                                                                                            |                 |             |

need to offer support for those functions where the organisation requires it (e.g. restructures)

managers are not effectively supported

Although training is now embedded and the service is happy with its development. Although the transactional element of HR is being addressed with apparent success, there is still work to do to ensure that the strategic framework supports the organisation's aims.

No further action identified

N/A

N/A

|                                                                                                                                                                                                                                                                                                                                                                                         |                                                                        |                                                                                                                                                                                                                                                                                   |           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |           |                                                                                                                                                                                                                                                      |                                                |                                             |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------|---------------------------------------------|
| <b>DCC006</b><br><i>Economic &amp; Financial</i><br><b>The risk that the economic and financial environment worsens beyond current expectations, leading to additional pressure on services and reduced income.</b> The forthcoming settlement is lower than originally anticipated, and may only be relevant for 1 year, affecting our ability to effectively plan for the medium term | Mohammed Mehmet<br><u>Lead Member(s):</u><br>Cllr Julian Thompson Hill | The council suffers from a significant reduction in income, leading to an inability to deliver current levels of service provision.                                                                                                                                               | <b>A1</b> | The council has no control over the global economy or the WG settlement. Therefore the inherent risk score likely to remain high.<br><br>Annual, detailed budget setting process that considers economic environment<br><br>The Medium Term Financial Plan (MTEP) contains different scenarios to ensure it can deal with changes in the external environment, and is considered on a quarterly basis.<br><br>Budget-setting process and Modernisation Board's activities raise awareness of implications of significantly reduced income due to the economic environment.<br><br>Quarterly financial planning meetings between services and management accountants are in place<br><br>Service's budgets are scrutinised by the Lead Member for Finance and the Head of Service during budget setting talks | <b>C2</b> | New budget process (Freedom and Flexibilities) developed for 15/16 and beyond based around the Chief Executive's 'Sharpening Our Act' strategy. Currently being piloted and will be implemented over the summer.<br><br>No further action identified | Paul McGrady<br><br>N/A                        | 30-Jun-14<br><br>N/A                        |
| <b>DCC007</b><br><i>Legislative / Regulatory</i><br><b>The risk that critical or confidential information is lost or disclosed.</b>                                                                                                                                                                                                                                                     | Hywyn Williams<br><u>Lead Member(s):</u><br>Cllr Barbara Smith         | Reputational damage. Criticism from external regulators (e.g. WAO conducting a review of information management across Welsh Authorities in 2012). Fines from the Information Commissioner's Office (precedent of fines of up to £130k for single breach of Data Protection Act). | <b>B3</b> | The council has PSN accreditation.<br>Retention schedules and file plans are incorporated into all EDRMS implementations.<br>Staff workshops delivered on good archiving practices.<br>Printer controls in place.<br>EDRMS project being rolled out.<br>Addresses checked by a second member of staff when sending sensitive information<br>Information strategy in place.<br>Strategic Information Risk Officer in place who investigates breaches and creates an action plan for prevention after each one.<br>Training delivered to SLT and Corporate Governance Committee.<br>Enforcing the encryption of any removal media used to download                                                                                                                                                             | <b>C3</b> | New information security policy<br><br>Corporate Stores changes: digitisation, revision of file-request process, file amnesty day<br><br>Corporate intranet based training available from April                                                      | Alan Smith<br><br>Alan Smith<br><br>Alan Smith | 31-Oct-14<br><br>30-Sep-13<br><br>31-Jul-13 |

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|                                                                                                                                                                                                                                                                                                                                                                              |                                            |                                                                                                                                                                                                                                                                                                                                                 |           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |           |                                                                                                                                                                                                                                                                                                      |                 |           |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|-----------|
| <b>DCC011</b>                                                                                                                                                                                                                                                                                                                                                                |                                            |                                                                                                                                                                                                                                                                                                                                                 |           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |           |                                                                                                                                                                                                                                                                                                      |                 |           |
| <i>Environmental</i>                                                                                                                                                                                                                                                                                                                                                         | Rebecca Maxwell                            | Significant disruption to core services. Serious injury or fatality due to road network closure, poisoning or infection. Reputational risk to the council if unable to deal with issues.                                                                                                                                                        | <b>D2</b> | The control environment in this area is the joint Emergency Planning Unit (Denbighshire & Flintshire). We also continually review our procedures for winter highways maintenance (e.g. this was the subject of a report to Communities Scrutiny Committee in October 2012, and we recently reviewed our emergency call-out rota system). Secondary rota established and operational. Service disruption is minimised through our arrangements for business continuity and emergency planning, with separate Directors responsible for Response, Recovery, and Information                                                                                                              | <b>D2</b> | Training for CET and SLT in tactical and strategic emergency response to be delivered                                                                                                                                                                                                                | Rebecca Maxwell | 30-Jun-14 |
| <b>The risk of a severe weather, contamination, or public health event.</b> Services plan for the impact of expected seasonal variations in weather, but severe weather events can impact on service delivery. Similarly, we put plans in place to monitor food, water and air quality, but any contaminations can impact on service delivery, as would any viral pandemics. | <u>Lead Member(s):</u><br>Cllr David Smith |                                                                                                                                                                                                                                                                                                                                                 |           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |           | Vulnerable People mapping project                                                                                                                                                                                                                                                                    | Phil Gilroy     | 30-Sep-14 |
|                                                                                                                                                                                                                                                                                                                                                                              |                                            |                                                                                                                                                                                                                                                                                                                                                 |           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |           | Major incident handbook to be updated                                                                                                                                                                                                                                                                | Rebecca Maxwell | 30-Apr-14 |
| <b>DCC012</b>                                                                                                                                                                                                                                                                                                                                                                |                                            |                                                                                                                                                                                                                                                                                                                                                 |           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |           |                                                                                                                                                                                                                                                                                                      |                 |           |
| <i>Legislative / Regulatory</i>                                                                                                                                                                                                                                                                                                                                              | Hywyn Williams                             | Reputational damage. Potential intervention by the WG. Significant resources may be required to be diverted to deliver immediate and substantial change. Regulation we're subject to includes: CSSIW (Care and Social Services Inspectorate Wales); WAO office; Estyn; HSE (Health & Safety Executive); ICO (Information Commissioner's Office) | <b>C2</b> | The corporate performance management framework (PMF) is the main control in this area. New system of "excellence thresholds" and "interventions" now used which is more robust than traditional target setting. Training on PMF has been delivered to Members, with a specific sessions for Cabinet and Performance Scrutiny. Head of Business Improvement and Modernisation, and Corporate Programme Office Manager meet monthly with Wales Audit Office to understand and respond to their concerns. Regulators sit on our Service Performance Challenges now. Research & Intelligence team creates Needs & Demands, and Comparative reports to enhance self awareness for services. | <b>D3</b> | Annual governance statement and corporate self assessment have been integrated into a single document, 'Delivering Good Governance & Continuous Improvement'. First draft will be shared with our Regulators and will go to Corporate Governance Committee, ahead of publishing by the June deadline | Alan Smith      | 30-Jun-14 |
| <b>The risk of a significantly negative report(s) from external regulators.</b>                                                                                                                                                                                                                                                                                              | <u>Lead Member(s):</u><br>Cllr Hugh Evans  |                                                                                                                                                                                                                                                                                                                                                 |           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |           |                                                                                                                                                                                                                                                                                                      |                 |           |
| <b>Tudalen 78</b>                                                                                                                                                                                                                                                                                                                                                            |                                            |                                                                                                                                                                                                                                                                                                                                                 |           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |           |                                                                                                                                                                                                                                                                                                      |                 |           |
| <b>DCC013</b>                                                                                                                                                                                                                                                                                                                                                                |                                            |                                                                                                                                                                                                                                                                                                                                                 |           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |           |                                                                                                                                                                                                                                                                                                      |                 |           |
| <i>Partnership / Contractual</i>                                                                                                                                                                                                                                                                                                                                             | Hywyn Williams                             | Capital liabilities. Property Liabilities. Reduction in levels of service provided to the community, or increased revenue costs to continue delivery. Reputation damage to the council.                                                                                                                                                         | <b>B2</b> | Council is entitled to representation on Boards, and Heads of Service providing strategic advice to facilities. Heads of Service advise DCC on any emerging issues and risks. Financial support and/or subsidies being provided. Processes are in place to manage relationships between DCC and Arm's Length organisations.                                                                                                                                                                                                                                                                                                                                                            | <b>B3</b> | Internal Audit's Due Diligence report due imminently to provide a steer regarding how to improve controls around Arm's Length organisations                                                                                                                                                          | Rebecca Maxwell | 30-Apr-14 |
| <b>The risk of significant financial and reputational liabilities resulting from management of some Arm's Length organisations.</b> Liabilities could arise due to financial, HR, safeguarding, or general management problems                                                                                                                                               | <u>Lead Member(s):</u><br>Cllr Huw Jones   |                                                                                                                                                                                                                                                                                                                                                 |           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |           |                                                                                                                                                                                                                                                                                                      |                 |           |

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| <p><b>DCC014</b></p> <p><i>Physical Hazards and H&amp;S</i></p> <p><b>The risk of a health &amp; safety incident resulting in serious injury or the loss of life.</b> This could be as a result of an ineffective H&amp;S management system; inadequate fire control systems (infrastructure); or inadequate fire management planning.</p> <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Tudalen 7</p> | <p>Hywyn Williams</p> <p><u>Lead Member(s):</u></p> <p>Cllr Julian Thompson Hill</p> | <p>Serious injury or death of an employee and/or member of public. Significant reputational damage Substantial legal/compensation costs. Criminal prosecution of senior staff.</p>                                                                                                                                                                                                                                                                                                                                                                                   | <p style="background-color: orange; color: white; text-align: center; width: 20px; height: 20px; margin: 0 auto;">C2</p> | <p>New H&amp;S Committee established with representation from each service, plus meetings established with groups of services. Strategic leadership provided by Corporate Director with responsibility for health and safety. Improved efficiency through on-line &amp; phone line incident reporting. Council has existing Health and Safety Management System(s)- All DCC teams to identify their activities, consider the hazards associated with the work, describe how the risks are managed and then analyse any gaps in how they are managing the risks. These self analyses are now being monitored by the CH&amp;S team who are going out into the workplaces and providing support, guidance and feedback where it is needed. The H&amp;S training program focuses on in-house provision that is targeted at DCC activities. Strong Leadership process developed and in place across the organisation. Links developed with Property Services to manage property-related fire risks Middle managers have developed robust fire management system controls In-house training and meetings established to embed good practise. GUIDance and assistance provided to managers responsible for developing fire management</p> | <p style="background-color: yellow; color: black; text-align: center; width: 20px; height: 20px; margin: 0 auto;">E2</p> | <p>No further action required</p> <p>No further action required</p>                                                                                                                                      |                                         |                                |
| <p><b>DCC015</b></p> <p><i>Economic &amp; Financial</i></p> <p><b>The risk that the impact of welfare reforms is more significant than anticipated by the council.</b> Welfare reform has potentially significant implications for a large proportion of residents, and also on the council in terms of increased demand for services and reduced income. The actual impact is difficult to predict.</p>                  | <p>Paul McGrady</p> <p><u>Lead Member(s):</u></p> <p>Cllr Hugh Irving</p>            | <p>Potential increase in demand for services: e.g. homelessness and homelessness prevention services; housing (especially for stock which is currently scarce); benefits support / advice, etc. Reduced income from rents and council tax payments with reduced cash flow and an increase in bad debt for the authority. Increased recovery action and administrative costs. Increase in tenants' rents. Also an impact to Social Services due to Disability Living Allowance changes. This could also impact on our ability to deliver our Corporate Priorities</p> | <p style="background-color: red; color: white; text-align: center; width: 20px; height: 20px; margin: 0 auto;">B2</p>    | <p>DCC Welfare Reform Group has been meeting since April 2012. This group is cross service to ensure that information is shared and pressures identified to support our customers. Chair of Corporate Governance sits on the Welfare Reform Group</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | <p style="background-color: orange; color: black; text-align: center; width: 20px; height: 20px; margin: 0 auto;">B3</p> | <p>Set up reporting arrangements for the group to keep Corporate Governance informed of its progress</p> <p>Council to be briefed on the pressures facing the organisation and the work of the group</p> | <p>Paul McGrady</p> <p>Paul McGrady</p> | <p>30-Jun-14</p> <p>Jun-14</p> |

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| <b>DCC017</b><br><i>Technological</i>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Mohammed Mehmet                              | If we decide to invest in technology that does not sufficiently contribute to our Modernisation agenda, not only are we likely to miss our targets, but we're also going to waste money. | <b>B2</b> | ICT Strategy (developed in conjunction with SLT) agreed. ICT Business Partners work with services to forecast their ICT needs. All decisions for investment taken at Strategic Investment Group. The Programme Office has introduced a Stage Review Group that offers some quality assurance for business cases, prior to their being passed on for approval. IT Steering Group established to meet quarterly. ICT now part of the Business improvement & Modernisation service, and structures will be realigned to provide a more customer-focussed service. Hardware rollout almost complete, and software rollout planned and paid for. There's financial presence on the Modernisation Board, and a financial plan in place for the ICT strategy. | <b>C2</b> | Telephony strategy to be developed                                                                                             | Alan Smith      | 31.03.2015 |
| <b>The risk that the ICT framework does not meet the organisation's needs.</b> If we do not invest in appropriate technology at the right price, this will hinder our capability to deliver the efficiencies and savings required for the Modernisation priority. The main risk here is around the organisation taking decisions to invest in IT infrastructure that is not effective in reducing overheads. This can happen for two reasons: 1) we don't understand the current and necessary ICT requirements, and 2) we don't accurately predict the anticipated benefits. This risk might also occur as a missed opportunity to capitalise on effective technology, if we unaware of the capability that <u>some technology can bring.</u> | <u>Lead Member(s):</u><br>Cllr Barbara Smith |                                                                                                                                                                                          |           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |           | (Approved) migration to MS Enterprise to be delivered                                                                          | Alan Smith      | 31.03.2015 |
| <b>DCC018</b><br><i>Professional / Managerial</i>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Mohammed Mehmet                              | The forecast changes that were alluded to in business cases do not materialise and, hence, neither do their benefits                                                                     | <b>B2</b> | Corporate Programme Office established. HR resource identified to support restructures. Business Partners involved in workforce planning have identified a need for Change management training, and resource has been identified to support this. Programme Manager in place for the Modernisation priority (to co-ordinate projects). Establishment of a Modernisation Board, which can track projects and their benefits. Introduction of Verto to record benefit tracking. Change toolkits, together with factsheets, are on the intranet to support managers. HR Business Partners are now allocated to every major change to ensure consistency. Finance remove savings from budgets to ensure financial savings are delivered.                   | <b>B2</b> | Develop 'Denbighshire Way Change Management guidance' to deal with the staff and management requirements to facilitate change. | Linda Atkin     | N/A        |
| <b>The risk that programme and project benefits are not fully realised.</b> The council currently does not consistently deliver all benefits from projects. Some of the issues include: inconsistent management; resistance to change staff behaviour; and processes not changing as planned. Programmes to be mindful of here include: Economic & Community Ambition, Modernisation, Social Services Modernisation, Modernising Education, Coastal Facilities, and Rhyl Going Forward.                                                                                                                                                                                                                                                        | <u>Lead Member(s):</u><br>Cllr Barbara Smith |                                                                                                                                                                                          |           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |           | Take a proposal to CET regarding a process for managing the delivery of project benefits                                       | Alan Smith      | Apr-14     |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                              |                                                                                                                                                                                          |           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |           | Updates from all Boards to go to CET every three months                                                                        | Mohammed Mehmet | Apr-14     |



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| <p><b>DCC019</b></p> <p><b>Economic &amp; Financial</b></p> <p><b>The risk that the availability of the Welsh Government's match-funding contribution towards Band A of the 21st Century Schools programme is not in line with the timescales for Denbighshire's work programme.</b> Projects within the 21st Century Schools Programme are planned throughout the financial year, but rely on match-funding being available from the Welsh Government. If the WG's financial contribution is not received as anticipated, it can affect the timing of each project, which can impact on the overall programme.</p> <p style="writing-mode: vertical-rl; transform: rotate(180deg);"><b>Tudalen 8</b></p> | <p>Hywyn Williams</p> <p><u>Lead Member(s):</u></p> <p>Cllr Eryl Williams</p> | <p>Delays in delivering the 21st Century Schools Programme.</p>                                                                                                                                  | <p style="background-color: red; color: white; text-align: center; width: 40px; height: 40px; margin: auto;">B2</p> | <p>Regular liaison with WG and Strategic Investment Group to review progress of individual projects and the overall financial management of the longterm programme to identify potential risks in funding profiles. Establishment of a formal programme approach to manage the delivery of the 21st Century Schools programme. Projects over £5m in value are scoped out according to the Welsh Government's five case business model at development stage. Project at £5m or less are scoped out inline with the Welsh Government's business justification case documentation. Modernising Education Programme Board established, to meet monthly in the short term. SRO, Head of Service and Programme Manager have arranged for regular gateway review support from WG's Programme and Projects department (independent from WG's 21st Century Schools team). The recent gateway review - an independent report - was positive. Strategic Outline Case for Rhyl New School, Strategic Outline Case and Outline Business Case for Ysgol Glan Clwyd and the Business Justification Cases for Ysgol Bro Dyfrdwy and Bodnant Community School all approved by Welsh Government.</p> | <p style="background-color: orange; color: white; text-align: center; width: 40px; height: 40px; margin: auto;">C2</p> | <p>No further action identified</p>                                          | <p>N/A</p>             | <p>N/A</p>       |
| <p><b>DCC024</b></p> <p><b>Partnership / Contractual</b></p> <p><b>The risk that effective partnerships and interfaces between BCU Health Board and Denbighshire County Council (DCC) do not develop.</b> This could leading to significant misalignment between the strategic and operational direction of BCU and DCC</p>                                                                                                                                                                                                                                                                                                                                                                               | <p>Nicola Stubbins</p> <p><u>Lead Member(s):</u></p> <p>Cllr Bobby Feeley</p> | <ul style="list-style-type: none"> <li>• inefficient services</li> <li>• gaps in service provision</li> <li>• delays/failure to deliver joint projects</li> <li>• reputational damage</li> </ul> | <p style="background-color: red; color: white; text-align: center; width: 40px; height: 40px; margin: auto;">B2</p> | <p>Establishment of a Denbighshire Health and Social Care Board, of which BCU is a member. DCC presence in Key CPG meetings and Regional Boards implementing integrated approaches. New Chief Executive of BCUHB appointed but not yet in post.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | <p style="background-color: red; color: white; text-align: center; width: 40px; height: 40px; margin: auto;">B2</p>    | <p>Regional meetings between north Wales authorities and BCUHB scheduled</p> | <p>Nicola Stubbins</p> | <p>06-May-14</p> |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                               |                                                                                                                                                                                                  |                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                        | <p>No further action identified</p>                                          | <p>N/A</p>             | <p>N/A</p>       |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                               |                                                                                                                                                                                                  |                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                        | <p>No further action identified</p>                                          | <p>N/A</p>             | <p>N/A</p>       |

Mae tudalen hwn yn fwriadol wag

|                            |                                       |
|----------------------------|---------------------------------------|
| <b>Adroddiad i'r:</b>      | <b>Pwyllgor Archwilio Perfformiad</b> |
| <b>Dyddiad y Cyfarfod:</b> | <b>1 Mai 2014</b>                     |
| <b>Awdur yr Adroddiad:</b> | <b>Y Cydlynnydd Archwilio</b>         |
| <b>Teitl:</b>              | <b>Rhaglen Waith Archwilio</b>        |

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## 1. Beth yw cynnwys yr adroddiad?

Mae'r adroddiad yn cyflwyno drafft rhaglen waith i'r dyfodol y Pwyllgor Archwilio Perfformiad i'r aelodau ei hystyried.

## 2. Beth yw'r rheswm dros lunio'r adroddiad hwn?

Gofyn i'r Pwyllgor adolygu a chytuno ar ei raglen waith i'r dyfodol, a rhoi'r wybodaeth ddiweddaraf i aelodau ar faterion perthnasol.

## 3. Beth yw'r Argymhellion?

Argymhellir y dylai'r Pwyllgor ystyried yr wybodaeth a ddarparwyd a chymeradwyo, adolygu neu addasu eu rhaglen gwaith i'r dyfodol fel yr ystyrir yn briodol.

## 4. Manylion am yr Adroddiad.

- 4.1 Mae Erthygl 6 Cyfansoddiad Cyngor Sir Ddinbych yn nodi cylch gorchwyl, swyddogaethau ac aelodaeth pob Pwyllgor Archwilio, tra bo rheolau'r gweithdrefnau i bwyllgor archwilio wedi'u gosod yn Rhan 4 y Cyfansoddiad.
- 4.2 Mae'r Cyfansoddiad yn amodi bod yn rhaid i bwyllgorau archwilio'r Cyngor baratoi ac adolygu rhaglen ar gyfer eu gwaith i'r dyfodol. Drwy adolygu a blaenoriaethu materion mae modd i aelodau sicrhau fod y rhaglen waith yn cyflwyno rhaglen dan arweiniad yr aelodau.
- 4.3 Arfer sydd wedi'i fabwysiadu yn Sir Ddinbych ers nifer o flynyddoedd yw bod pwyllgorau archwilio'n cyfyngu ar nifer yr adroddiadau a ystyrir mewn unrhyw gyfarfod i uchafswm o bedwar, yn ogystal ag adroddiad rhaglen waith y Pwyllgor ei hun. Nod y dull hwn yw hwyluso cael trafodaeth fanwl ac effeithiol ar bob pwnc.
- 4.4 Gofynnir i'r Pwyllgor ystyried ei raglen waith ddrafft ar gyfer cyfarfodydd y dyfodol, fel y manylir yn atodiad 1, a'i chymeradwyo, ei diwygio neu ei newid fel yr ystyrir yn briodol gan ystyried:
  - materion a godwyd gan aelodau'r Pwyllgor
  - y materion a gyfeiriwyd ato gan y Grŵp Cadeiryddion ac Is-Gadeiryddion Archwilio

- Perthnasedd i flaenoriaethau'r Pwyllgor/y Cyngor/y Gymuned
  - Cynllun Corfforaethol y Cyngor ac Adroddiad Blynyddol Cyfarwyddwr Gwasanaethau Cymdeithasol
  - bodloni'r llwyth gwaith
  - amseroldeb
  - canlyniadau
  - gwybodaeth a materion allweddol i'w cynnwys mewn adroddiadau
  - a fydd yr aelod Cabinet perthnasol yn cael gwahoddiad (gan ystyried a yw eu presenoldeb yn angenrheidiol neu yn ychwanegu gwerth). (Ym mhob sefyllfa bydd y penderfyniad yn cael ei rannu gyda'r aelod arweiniol perthnasol)
  - cwestiynau i'w gofyn i swyddogion/aelodau arweiniol y Cabinet.
- 4.5 Wrth ystyried eitemau i'w cynnwys yn y rhaglen waith i'r dyfodol, efallai y byddai aelodau'n cael budd o ystyried y cwestiynau canlynol wrth benderfynu a yw eitem yn addas neu beidio:
- beth yw'r mater?
  - pwy yw'r budd-ddeiliaid?
  - beth sy'n cael ei ystyried mewn mannau eraill?
  - beth sydd angen i archwilio ei wybod? a
  - pwy sy'n gallu cynorthwyo?
- 4.6 Fel y crybwyllwyd ym mharagraff 4.2 uchod, mae Cyfansoddiad y Cyngor yn gofyn i bwyllgorau archwilio baratoi ac adolygu rhaglen ar gyfer eu gwaith i'r dyfodol. Er mwyn cynorthwyo'r broses o flaenoriaethu adroddiadau, os yw'r swyddogion o'r farn fod pwnc yn haeddu cael amser i'w drafod ar raglen fusnes y Pwyllgor, mae'n rhaid iddynt wneud cais ffurfiol i'r Pwyllgor ystyried derbyn adroddiad ar y pwnc hwnnw. Gwneir hyn trwy gyflwyno 'ffurflen gynnig' sy'n egluro pwrpas, pwysigrwydd a chanlyniadau posibl y pynciau a awgrymir. Ni dderbyniwyd unrhyw 'ffurflen gynnig' ar gyfer ystyriaeth yn y cyfarfod hwn.

#### Rhaglen Waith i'r Dyfodol y Cabinet

- 4.7 Wrth benderfynu ar eu rhaglen waith i'r dyfodol mae'n bwysig fod pwyllgorau archwilio yn ystyried amserlen rhaglen waith y Cabinet. Ar gyfer y diben hwn, mae rhaglen waith y Cabinet wedi ei chynnwys yn Atodiad 2.

#### Datblygiad Penderfyniadau'r Pwyllgor

- 4.8 Yn Atodiad 3 mae tabl yn crynhoi penderfyniadau diweddar y Pwyllgor a gwybodaeth am y datblygiadau yn sgil y penderfyniadau.

### **5. Grŵp Cadeiryddion ac Is-Gadeiryddion Archwilio**

Dan drefniadau archwilio'r Cyngor mae Grŵp Cadeiryddion ac Is-Gadeiryddion Archwilio (GCIGA) yn gweithredu fel pwyllgor cydlynu. Mae'r Grŵp yn cynnal ei gyfarfod nesaf ar 24 Ebrill ac fe fydd unrhyw

benderfyniad neu gyfeiriad a wneir gan y grŵp yn cael ei adrodd ar lafar i'r Pwyllgor ar 1 Mai.

**6. Sut mae'r penderfyniad yn cyfrannu at y Blaenoriaethau Corfforaethol?**

Bydd archwilio effeithiol yn gymorth i'r Cyngor gynnal y blaenoriaethau corfforaethol yn unol ag anghenion cymunedau a dymuniadau trigolion. Bydd datblygu ac adolygu'r rhaglen waith gydlynol yn barhaus yn cynorthwyo'r Cyngor i fonitro ac adolygu materion polisi.

**7. Beth yw prif gasgliadau'r asesiad a gynhaliwyd ynglŷn ag effaith y penderfyniad ar gydraddoldeb? Dylid atodi'r templed AoEaG fel atodiad i'r adroddiad hwn.**

Ni chynhaliwyd Asesiad o Effaith ar Gydraddoldeb er diben yr adroddiad hwn gan nad yw ystyried rhaglen waith i'r dyfodol y Pwyllgor yn debygol o gael effaith andwyol neu annheg ar bobl sy'n rhannu nodweddion sydd wedi'u diogelu.

**8. Beth fydd y gost a sut y bydd yn effeithio ar wasanaethau eraill?**

Mae'n bosib y bydd yn rhaid i wasanaethau neilltuo amser swyddog i gynorthwyo'r Pwyllgor gyda'r eitemau a nodwyd yn y rhaglen waith a chydag unrhyw gam gweithredu yn dilyn ystyried yr eitemau hynny.

**9. Pa ymgynghoriadau a gynhaliwyd?**

Does dim angen cynnal ymgynghoriad ar yr adroddiad hwn. Fodd bynnag, mae'r adroddiad ei hun a'r ystyriaeth a roir gan y Pwyllgor i'w raglen waith ar gyfer y dyfodol yn gyfystyr ag ymgynghoriad gyda'r Pwyllgor o ran ei raglen waith.

**10. Pa risgiau sy'n bodoli ac a oes unrhyw beth y gallwn ei wneud i'w lleihau?**

Nid oes risg wedi ei ganfod o ran y Pwyllgor yn ystyried ei raglen waith. Fodd bynnag, wrth adolygu ei raglen waith yn rheolaidd gall y Pwyllgor sicrhau bod meysydd sy'n peri pryder yn cael eu hystyried a'u harchwilio fel y maent yn dod i'r amlwg a bod argymhellion yn cael eu gwneud er mwyn mynd i'r afael â nhw.

**11. Grym i wneud Penderfyniad**

Yn unol ag Erthygl 6.3.7 Cyfansoddiad y Cyngor mae'n rhaid i bwyllgorau archwilio'r Cyngor baratoi rhaglen waith a'i hadolygu.

**Swyddog Cyswllt:**  
Y Cydlynnydd Archwilio

Rhif ffôn: (01824) 712554

E-bost: [dcc\\_admin@sirddinbych.gov.uk](mailto:dcc_admin@sirddinbych.gov.uk)

**Note: Any items entered in italics have not been approved for inclusion at the meeting shown by the Committee. Such reports are listed here for information, pending formal approval.**

| Meeting | Lead Member(s)                                  | Item (description / title)                                     | Purpose of report                                                                                                                                                                                                                                         | Expected Outcomes                                                                                                                                                           | Author                                 | Date Entered  |
|---------|-------------------------------------------------|----------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------|---------------|
| 12 June | <b>Cllr. Hugh Irving</b>                        | 1 Your Voice' complaints performance (Q4)                      | To scrutinise Services' performance in complying with the Council's complaints process                                                                                                                                                                    | Identification of areas of poor performance with a view to the development of recommendations to address weaknesses.                                                        | Jackie Walley/Clare O'Gorman           | February 2013 |
|         | <b>Cllr. Barbara Smith</b>                      | 2 Corporate Plan QPR: Q4 2013/14                               | To monitor the Council's progress in delivering the Corporate Plan 2012-17 consider the latest version of                                                                                                                                                 | Ensuring that the Council meets its targets, delivers its Corporate Plan and the Council's services in line with its aspirations and to the satisfaction of local residents | Alan Smith/Nicola Kneale               | February 2013 |
|         | <b>Cllr. Julian Thompson-Hill</b><br>(required) | 3 Agricultural Estate Strategy                                 | To present details of the new Terms of Reference and membership for the revised Agricultural Estate Working Group; and to outline details of the vision for the Council's Agricultural Estate and progress in developing a strategy to deliver the vision | A robust strategy that will contribute to the future viability of the Estate and assist the Council to deliver a number of its corporate priorities                         | Paul McGrady/David Mathews/David Lorey | March 2014    |
|         | <b>Cllr. Bobby Feeley</b><br>(required)         | 4. Draft Director of Social Services Annual Report for 2013/14 | To scrutinise the content of the draft annual report to ensure it provides a fair and clear evaluation of performance in 2013/14 and clearly articulates future plans.                                                                                    | Identification of any specific performance issues which require further scrutiny by the committee in future                                                                 | Tony Ward                              | March 2014    |

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| Meeting | Lead Member(s)                                  | Item (description / title)                   | Purpose of report                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Expected Outcomes                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Author                                 | Date Entered                             |
|---------|-------------------------------------------------|----------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------|------------------------------------------|
| 17 July | <b>Cllr. Eryl Williams</b><br><i>(required)</i> | 1 Estyn Action Plan<br><b>[Education]</b>    | To<br>(i) monitor the progress achieved to date in implementing the actions to address the 2 recommendations in the 2012 Estyn Inspection of the Quality of Education Services;<br>(ii) detail measures taken to improve accuracy of KS3 teacher assessment and GwE's use of Moodle;<br>(iii) detail the findings of the audit of services available to children and young people, their impact and value for money; and<br>(iv) inform members of any proposed changes to education delivery, performance/attainment measures and future inspection arrangements and expectations | (i) Better quality services and better outcomes for pupils through early identification of any slippages in progressing actions, or in implementing mitigating measures to address identified risks; and<br>(ii) identification of measures to address national policy requirements/challenges and consequential inspection arrangements with a view to mitigating the risk of disruption to pupils and teachers and deterioration in performance and attainment rates | Joint report by Karen Evans/Liz Grieve | June 2013                                |
|         | <b>Cllr. David Smith</b>                        | 2 Provision of CCTV and Out of Hours Service | To consider the preferred options identified for the delivery, with limited financial resources, of an equitable CCTV and associated Out of Hours service across the County in future                                                                                                                                                                                                                                                                                                                                                                                              | Provision of an effective and efficient service will assist the Authority to deliver the corporate priorities of protecting vulnerable people, keeping streets clean                                                                                                                                                                                                                                                                                                   | Graham Boase/Emlyn Jones               | October 2013<br>(rescheduled March 2014) |



| Meeting     | Lead Member(s)                                                                | Item (description / title)                                                      | Purpose of report                                                                                                                                                                                                                                       | Expected Outcomes                                                                                                                                                                                                | Author                       | Date Entered   |
|-------------|-------------------------------------------------------------------------------|---------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------|----------------|
|             |                                                                               |                                                                                 |                                                                                                                                                                                                                                                         | and tidy and bring the Council closer to the community                                                                                                                                                           |                              |                |
| 2 October   | <b>Cllr. Barbara Smith</b>                                                    | 1. Annual Performance Review 2013/14                                            | To seek Scrutiny's view on the Council's Annual Performance Review report prior to its submission to County Council for approval                                                                                                                        | Participation in the consultation on the Annual Report will assist the Committee to identify areas of weakness and build them into its future work programme with a view to realising improvements going forward | Alan Smith                   | September 2013 |
|             | <b>Cllr. Eryl Williams</b><br><i>(representative from GwE also to attend)</i> | 2. Provisional External Examinations and Teacher Assessments <b>[Education]</b> | To review the performance of schools and that of looked after children                                                                                                                                                                                  | Scrutiny of performance leading to recommendations for improvement                                                                                                                                               | Julian Molloy                | September 2013 |
| 20 November | <b>Cllr. Hugh Irving</b>                                                      | 1 Your Voice' complaints performance (Q 1 & 2)                                  | To scrutinise Services' performance in complying with the Council's complaints process and to consider the feedback received after service issues and complaints have been resolved (as a result of the analysis undertaken of the complaints received) | Identification of areas of poor performance with a view to the development of recommendations to address weaknesses.                                                                                             | Jackie Walley/Clare O'Gorman | February 2013  |
|             |                                                                               |                                                                                 |                                                                                                                                                                                                                                                         |                                                                                                                                                                                                                  |                              |                |

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| Meeting         | Lead Member(s)                                                                | Item (description / title)                                                   | Purpose of report                                                                                                                                                                   | Expected Outcomes                                                                                                    | Author                       | Date Entered   |
|-----------------|-------------------------------------------------------------------------------|------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------|------------------------------|----------------|
| 15 January 2015 | <b>Cllr. Eryl Williams</b><br><i>(representative from GwE also to attend)</i> | 1. Verified External Examinations and Teacher Assessments <b>[Education]</b> | To review the performance of schools and that of looked after children; and GwE's impact on the educational attainment of the County's powers                                       | Scrutiny of performance leading to recommendations for improvement                                                   | Julian Molloy                | September 2013 |
| 26 February     | <b>Cllr. Hugh Irving</b>                                                      | 1 Your Voice' complaints performance (Q 3)                                   | To scrutinise Services' performance in complying with the Council's complaints                                                                                                      | Identification of areas of poor performance with a view to the development of recommendations to address weaknesses. | Jackie Walley/Clare O'Gorman | February 2013  |
| 16 April        |                                                                               |                                                                              |                                                                                                                                                                                     |                                                                                                                      |                              |                |
| May/June        | <b>Cllr. Hugh Irving</b>                                                      | 1 Your Voice' complaints performance (Q 4)                                   | To scrutinise Services' performance in complying with the Council's complaints process and to consider the feedback received after service issues and complaints have been resolved | Identification of areas of poor performance with a view to the development of recommendations to address weaknesses. | Jackie Walley/Clare O'Gorman | February 2013  |

**Future Issues**

| Item (description / title)                     | Purpose of report                                                                                                                                    | Expected Outcomes                                                                                                                                     | Author                         | Date Entered      |
|------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------|-------------------|
| <i>In-house Services Task and Finish Group</i> | <i>To consider the findings of the Task and Finish Group examining the value for money and viability of the Council's social care establishments</i> | <i>To formulate recommendations with respect to providing quality social care establishments that meet residents needs with diminishing resources</i> | <i>Phil Gilroy/Rhian Evans</i> | <i>March 2014</i> |

**Information/Consultation Reports**

| <b>Date</b>                                                                         | <b>Item (description / title)</b>                                                | <b>Purpose of report</b>                                                                                                                                                                                                                                                                                                                                       | <b>Author</b>                           | <b>Date Entered</b> |
|-------------------------------------------------------------------------------------|----------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|---------------------|
| <b>April 2014</b><br>[Information]<br><b>[Education]</b>                            | Condition of the County's School Estate                                          | To detail the structural and fabric condition of the County's School estate                                                                                                                                                                                                                                                                                    | Jackie Walley/James Curran              | January 2014        |
| <b>May /June 2014</b><br>[Information]                                              | New Library Performance Standards                                                | Details of the proposed new national Library Service Standards and Denbighshire's evaluation/proposals to meet those standards. The report will assist the Committee to determine whether this topic merits detailed scrutiny                                                                                                                                  | Jamie Groves/Roger Ellerton/Arwyn Jones | January 2014        |
| <b>Available during the summer term 2014</b><br>[Information]<br><b>[Education]</b> | Use of Supply Teachers<br><b>[Education – to be shared with coopted members]</b> | To detail the use made of supply teachers within the county during recent years and to date this year. The report to detail the costs to the Council of hiring supply teachers, the lengths of time for their hire, the expectations/objectives given to them upon engagement and the quality monitoring arrangements in place to evaluate their effectiveness | Karen Evans                             | September 2013      |
| <b>September/October 2014</b>                                                       | Community Development Agency                                                     | To detail the progress made in securing alternative delivery arrangements for services previously provided by the Agency and in securing premises to deliver the services                                                                                                                                                                                      | Phil Gilroy/Gwynfor Griffiths           | March 2014          |

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**Note for officers – Committee Report Deadlines**

| Meeting | Deadline      | Meeting | Deadline      | Meeting   | Deadline            |
|---------|---------------|---------|---------------|-----------|---------------------|
| 12 June | <b>29 May</b> | 17 July | <b>3 July</b> | 2 October | <b>18 September</b> |

Performance Scrutiny Work Programme.doc

Updated 22/04/14 RhE

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Cabinet Forward Work Plan

Appendix 2

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| Meeting         |   | Item (description / title)              | Purpose of report                                                                              | Cabinet Decision required (yes/no) | Author – Lead member and contact officer             |
|-----------------|---|-----------------------------------------|------------------------------------------------------------------------------------------------|------------------------------------|------------------------------------------------------|
| <b>29 April</b> | 1 | Finance Report Update                   | To update Cabinet on the current financial position of the Council                             | Tbc                                | Cllr Julian Thompson-Hill / Paul McGrady             |
|                 | 2 | Dublin Declaration                      | To consider an invitation to sign up to the Dublin Declaration                                 | Yes                                | Cllr Bobby Feeley / Gwynfor Griffiths / Sandra Jones |
|                 | 3 | Bailiff Reform<br><b>A Part II item</b> | To adopt recent changes to the legislation governing the use of bailiffs and the fees charged. | Yes                                | Cllr Julian Thompson-Hill / Paul McGrady             |
|                 | 4 | Business Rates Write Offs               | To seek Cabinet approval to write off irrecoverable Business Rates.                            | Yes                                | Cllr Julian Thompson-Hill / Paul McGrady             |
|                 | 5 | Corporate Events Strategy               | To consider the Corporate Events Strategy and associated annual calendar                       | Yes                                | Sian Owen                                            |
|                 | 6 | Items from Scrutiny Committees          | To consider any issues raised by Scrutiny for Cabinet's attention.                             | Tbc                                | Scrutiny Coordinator                                 |
|                 |   |                                         |                                                                                                |                                    |                                                      |
| <b>27 May</b>   | 1 | Finance Report Update                   | To update Cabinet on the                                                                       | Tbc                                | Cllr Julian Thompson-                                |

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| Meeting        | Item (description / title) |                                                                                          | Purpose of report                                                                                                                       | Cabinet Decision required (yes/no) | Author – Lead member and contact officer                            |
|----------------|----------------------------|------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------|------------------------------------|---------------------------------------------------------------------|
|                |                            |                                                                                          | current financial position of the Council                                                                                               |                                    | Hill / Paul McGrady                                                 |
|                | 2                          | New North East Wales marketing area for tourism in Wales and Destination Management Plan | Consideration of a report on the replacement of 2 current marketing areas/ introduce the new brand / moving forward and business buy in | Tbc                                | Cllr Huw Jones / Jamie Groves / Vicki Shenton-Morris / Fiona Dolben |
|                | 3                          | Procurement Business Case for Three Counties                                             | To consider the Business Case                                                                                                           | Yes                                | Cllr Julian Thompson Hill / Paul McGrady                            |
|                | 4                          | Nova Centre Redevelopment Proposals                                                      | To consider redevelopment proposals for the Nova                                                                                        | Yes                                | Cllr Huw Jones / Rebecca Maxwell / Jamie Groves                     |
|                | 5                          | Street Naming Policy                                                                     | To consider amendments to the current Street Naming Policy and to adopt the new Policy.                                                 | Yes                                | Cllr Huw Jones / Hywyn Williams                                     |
|                | 6                          | Items from Scrutiny Committees                                                           | To consider any issues raised by Scrutiny for Cabinet's attention.                                                                      | Tbc                                | Scrutiny Coordinator                                                |
|                |                            |                                                                                          |                                                                                                                                         |                                    |                                                                     |
| <b>24 June</b> | 1                          | Finance Report Update                                                                    | To update Cabinet on the current financial position of the Council                                                                      | Tbc                                | Cllr Julian Thompson-Hill / Paul McGrady                            |
|                | 2                          | Corporate Plan QPR: Quarter 3 2013/14                                                    | To monitor the Council's progress in delivering the                                                                                     | Tbc                                | Cllr Barbara Smith / Alan Smith / Keith                             |

Cabinet Forward Work Plan

| Meeting             |   | Item (description / title)                       | Purpose of report                                                                             | Cabinet Decision required (yes/no) | Author – Lead member and contact officer |
|---------------------|---|--------------------------------------------------|-----------------------------------------------------------------------------------------------|------------------------------------|------------------------------------------|
|                     |   |                                                  | Corporate Plan 2012 -17                                                                       |                                    | Amos                                     |
|                     | 3 | Items from Scrutiny Committees                   | To consider any issues raised by Scrutiny for Cabinet's attention                             | Tbc                                | Scrutiny Coordinator                     |
|                     |   |                                                  |                                                                                               |                                    |                                          |
| <b>29 July</b>      |   |                                                  |                                                                                               |                                    |                                          |
|                     |   |                                                  |                                                                                               |                                    |                                          |
| <b>2 September</b>  |   |                                                  |                                                                                               |                                    |                                          |
|                     |   |                                                  |                                                                                               |                                    |                                          |
| <b>30 September</b> |   |                                                  |                                                                                               |                                    |                                          |
|                     |   |                                                  |                                                                                               |                                    |                                          |
| <b>28 October</b>   |   |                                                  |                                                                                               |                                    |                                          |
|                     |   |                                                  |                                                                                               |                                    |                                          |
| <b>25 November</b>  | 1 | Tenancy Terms and Conditions and Service Charges | To consider updated tenancy terms and conditions and charges for additional landlord services | Tbc                                | Cllr Hugh Irving / Stephen Collins       |
|                     |   |                                                  |                                                                                               |                                    |                                          |
| <b>16 December</b>  |   |                                                  |                                                                                               |                                    |                                          |
|                     |   |                                                  |                                                                                               |                                    |                                          |

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Note for officers – Cabinet Report Deadlines

Cabinet Forward Work Plan

| <i>Meeting</i> | <i><b>Deadline</b></i> | <i>Meeting</i> | <i><b>Deadline</b></i> | <i>Meeting</i> | <i><b>Deadline</b></i> |
|----------------|------------------------|----------------|------------------------|----------------|------------------------|
|                |                        |                |                        |                |                        |
| <i>April</i>   | <i><b>10 April</b></i> | <i>May</i>     | <i><b>12 May</b></i>   | <i>June</i>    | <i><b>10 June</b></i>  |

Updated 28/03/14 - KEJ

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## Progress with Committee Resolutions

| Date of Meeting | Item number and title                                      | Resolution                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Progress                                                                             |
|-----------------|------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------|
| 20 March 2014   | 5. Service Provision Following Closure of Community Agency | <p><b>Resolved: -</b></p> <p>(a) <i>that subject to the observations made and the provision of the required information that the Committee endorse the actions being taken to ensure alternative ways are found for providing the range of services currently provided by the Community Development Agency on the reduction in their budget of £25,000; and</i></p> <p>(b) <i>that an information report be provided to the Committee in the autumn of 2014 detailing the progress made in securing alternative delivery arrangements and premises for the purpose of delivering the Agency's services.</i></p> | See Appendix 1- information report scheduled for distribution September/October 2014 |
|                 | 6. In-house Provider Visits 2013/14 Overview               | <p><b>Resolved: -</b> <i>to note the information provided on the In-House Provider Visits and that a cross-Scrutiny Task and Finish Group be established with a view to examining value for money options for delivering high quality social care services in the County.</i></p>                                                                                                                                                                                                                                                                                                                               | Arrangements underway to establish the task and finish group                         |
|                 | 7. Agricultural Estate                                     | <p><b>Resolved: -</b> <i>that</i></p> <p>(a) <i>a meeting of the Agricultural Estate Working Group be</i></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                      |

|  |  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                    |
|--|--|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------|
|  |  | <i>convened urgently with a view to devising a clear long-term vision for the Council's Agricultural Estate and develop a robust strategy to deliver the vision. The Working Group to review its Terms of Reference, meet on a regular basis and conduct a condition survey of all holdings with a view to delivering the vision; and<br/>(b) a report be presented to the Committee at its meeting on 12 June 2014 outlining the progress achieved to date in progressing the above</i> | See Appendix 1 – report scheduled for presentation to the Committee at its meeting on 12 June 2014 |
|--|--|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------|