

At: Aelodau'r Pwyllgor Llywodraethu
Corfforaethol

Dyddiad: Dydd Mawrth, 21 Ionawr
2014

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Annwyl Gynghorydd

Fe'ch gwahoddir i fynychu cyfarfod y **PWYLLGOR LLYWODRAETHU CORFFORAETHOL, DYDD MERCHER, 29 IONAWR 2014** am **9.30 am** yn **YSTAFELL BWYLLGORA 1A, NEUADD Y SIR, RHUTHUN.**

Yn gywir iawn

G Williams
Pennaeth Gwasanaethau Cyfreithiol a Democraidaidd

AGENDA

RHAN 1 – GWAHODDIR Y WASG A'R CYHOEDD I'R RHAN HON O'R CYFARFOD

1 YMDDIHEURIADAU

2 DATGAN CYSYLLTIAD

Aelodau i ddatgan unrhyw gysylltiad personol neu sy'n rhagfarnu mewn unrhyw fusnes a nodwyd i'w hystyried yn y cyfarfod hwn.

3 MATERION BRYD

Hysbysiad o 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** (Tudalennau 5 - 20)
Derbyn cofnodion cyfarfod y Pwyllgor Llywodraethu Corfforaethol a gynhaliwyd ar 18 Rhagfyr, 2013.
- 5 DATGANIAD STRATEGAETH RHEOLI'R TRYSORLYS 2014/15 A DIWEDDARIAD** (Tudalennau 21 - 48)
Ystyried adroddiad gan y Pennaeth Cyllid ac Asedau (copi ynghlwm) mewn perthynas â Datganiad Strategaeth Rheoli'r Trysorlys 2014/15 a Diweddariad.
- 6 CYTUNDEB SETLIAD - DIWEDDARIAD** (Tudalennau 49 - 54)
Ystyried adroddiad gan y Rheolwr Gwasanaethau Adnoddau Dynol (copi ynghlwm) sy'n rhoi manylion yr adolygiad diweddar a wnaed gan yr Archwilwyr ar Gytundebau Setliad.
- 7 STRATEGAETH RHEOLI GWYBODAETH – RHAGLEN WAITH I'R DYFODOL** (Tudalennau 55 - 62)
Ystyried adroddiad gan y Rheolwr Gwybodaeth Corfforaethol (copi ynghlwm) a oedd yn rhoi manylion cynllun gwaith i'r dyfodol ar gyfer gweithredu'r Strategaeth Rheoli Gwybodaeth.
- 8 DEDDF RHEOLEIDDIO PWERAU YMCHWILIO 2000** (Tudalennau 63 - 66)
Ystyried adroddiad gan y Dirprwy Swyddog Monitro (copi ynghlwm) mewn perthynas â gofynion Codau Ymarfer RIPA y Swyddfa Gartref ar gyfer Awdurdodau Lleol.
- 9 ADRODDIAD CYNNYDD ARCHWILIO MEWNOL** (Tudalennau 67 - 98)
Ystyried adroddiad gan y Pennaeth Archwilio Mewnol (copi ynghlwm) sy'n rhoi'r wybodaeth ddiweddaraf am gynnydd diweddaraf y Gwasanaeth Archwilio Mewnol o ran cyflenwi gwasanaeth, darparu sicrwydd, adolygiadau a gwblhawyd, perfformiad ac effeithiolrwydd o ran gwelliannau.
- 10 CYNLLUN GWEITHREDU'R FFRAMWAITH LLYWODRAETHU CORFFORAETHOL** (Tudalennau 99 - 106)
Ystyried adroddiad gan y Pennaeth Archwilio Mewnol (copi ynghlwm) sy'n darparu Cynllun Gweithredu wedi'i ddiweddarau o ganlyniad i'r adolygiad o fframwaith llywodraethu'r Cyngor a'r Datganiad Llywodraethu Blynyddol (DLIB) 2012/13.

11 STRATEGAETH POBL 2011/14 – ADRODDIAD CAU (Tudalennau 107 - 132)

Ystyried adroddiad gan y Cyfarwyddwr Moderneiddio a Lles (copi ynghlwm) sy'n nodi cynnydd o ran cyflawni yn erbyn y Strategaeth Pobl, sy'n nodi materion sy'n weddill ac yn argymhell y camau nesaf.

12 ADBORTH O'R CYFARFOD CYDRADDOLDEB CORFFORAETHOL

Derbyn adroddiad ar lafar gan y Cynghorydd M.L. Holland o'r Cyfarfod Cydraddoldeb Corfforaethol.

13 RHAGLEN WAITH Y PWYLLGOR LLYWODRAETHU CORFFORAETHOL (Tudalennau 133 - 134)

Ystyried Rhaglen Waith i'r Dyfodol y Pwyllgor (copi ynghlwm).

RHAN 2- EITEMAU CYFRINACHOL

Argymhellir, yn unol ag Adran 100A(4) Deddf Llywodraeth Leol 1972, y dylid gwahardd y Wasg a'r Cyhoedd o'r cyfarfod tra'n trafod y materion canlynol oherwydd y tebygolrwydd y caiff gwybodaeth eithriedig, fel y diffinnir ym Mharagraff 14 Rhan 4 o Atodlen 12A y Ddeddf, ei datgelu.

14 DYFODOL HAMDDEN CLWYD CYF (Tudalennau 135 - 146)

Derbyn adroddiad cyfrinachol gan y Cyfarwyddwr Corfforaethol: Cwsmeriaid (copi ynghlwm) ar ddyfodol Hamdden Clwyd.

AELODAETH

Y Cynghorwyr

Brian Blakeley
Stuart Davies
Peter Duffy

Martyn Holland
Gwyneth Kensler
Jason McLellan

Aelod Lleyg

Paul Whitham

COPIAU I'R:

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

Mae tudalen hwn yn fwriadol wag

PWYLLGOR LLYWODRAETHU CORFFORAETHOL

Cofnodion cyfarfod o'r Pwyllgor Llywodraethu Corfforaethol a gynhaliwyd yn Ystafell Bwyllgora 1a, Neuadd y Sir, Rhuthun, Dydd Mercher, 18 Rhagfyr 2013 am 9.30 am.

YN BRESENNOL

Y Cynghorwyr Stuart Davies, Martyn Holland a/ac Jason McLellan (Cadeirydd), Mr Paul Whitham (Aelod Lleyg).

Roedd y Cynghorwyr M.Ll. Davies, J. Thompson-Hill ac A. Roberts yn bresennol fel arsylwyr.

HEFYD YN BRESENNOL

Cyfarwyddwr Corfforaethol: Moderneiddio a Lles (SE), Pennaeth y Gwasanaethau Cyfreithiol a Democrataidd (GW), Pennaeth Archwilio Mewnol (IB), Pennaeth Busnes, Cynllunio a Pherfformiad (AS), Rheolwr Archwilio (BS), Prif Gyfrifydd (RW), Rheolwr Gwella Corfforaethol (CB), Rheolwr Swyddfa Rhaglen Corfforaethol (KA), Swyddog Gwella Corfforaethol (NK), Cynrychiolwyr Swyddfa Archwilio Cymru (GB a NR), Cyfarwyddwr Rhanbarthol AGGCC (PG) a Gweinyddwr Pwyllgorau (CIW).

1 YMDDIHEURIADAU

Derbyniwyd ymddiheuriadau am absenoldeb oddi wrth y Cynghorwr(wyr) Brian Blakeley a/ac Gwyneth Kensler

2 DATGAN CYSYLLTIADAU

Ni wnaeth yr un Aelod ddatgan unrhyw fuddiannau personol nac anffafriol mewn unrhyw fusnes oedd i'w drafod yn y cyfarfod.

3 MATERION BRYD

Ni chodwyd dim eitemau y dylent, ym marn y Cadeirydd, gael eu hystyried yn y cyfarfod fel mater o frys yn unol ag Adran 100B(4) o'r Ddeddf Llywodraeth Leol, 1972.

4 COFNODION

Cofnodion cyfarfod o'r Pwyllgor Llywodraethu Corfforaethol a gynhaliwyd ar 6^{ed} Tachwedd, 2013.

PENDERFYNWYD – derbyn a chymeradwyo'r cofnodion fel cofnod gwir a chywir.

5 ADRODDIADAU RHEOLEIDDIO MEWNOL DIWEDDAR A DDAETH I LAW

(i) Llythyr Asesu Gwelliant Blynyddol

Roedd copi o'r llythyr Asesu Gwelliant a gafwyd oddi wrth Swyddfa Archwilio Cymru (SAC), a roddai farn ar a oedd y Cyngor wedi cyflawni ei ddyletswyddau statudol o safbwynt cynllunio gwella, adrodd ar wella ac wedi bodloni gofynion y Mesur Llywodraeth Leol (Cymru) 2009, wedi'i gylchredeg gyda'r papurau ar gyfer y cyfarfod.

Cyflwynodd y cynrychiolydd o Swyddfa Archwilio Cymru yr adroddiad. Esboniodd fod y farn a fynegir yn y llythyr gan SAC yn dod i'r casgliad bod y Cyngor wedi cyflawni ei ddyletswyddau adrodd ar wella dan y Mesur fel a ganlyn:-

- roedd y Cyngor wedi cyhoeddi asesiad o'i berfformiad yn ystod 2012-13 yn ei Adroddiad Perfformiad Blynyddol 2012/13 cyn yr 31^{ain} Hydref, 2013;
- mae'r adroddiad yn asesu perfformiad y Cyngor yn y flwyddyn ariannol flaenorol (2012-13) ac yn datgan sut mae'r Cyngor wedi mynd ati i gyflawni ei ddyletswyddau dan y Mesur;
- mae'r Adroddiad yn gwerthuso llwyddiant y Cyngor yn cyflawni ei amcanion gwella ac yn mynegi ei farn yn glir;
- mae'r Adroddiad yn cynnwys adran fer ar gyfer dinasyddion sydd eisiau darparu adborth neu roi sylwadau ar yr Adolygiad;
- mae'r Adroddiad yn cynnwys manylion perfformiad a chymariaethau wedi'u mesur gyda'r dangosyddion perfformiad statudol cenedlaethol; ac
- mae'r Adroddiad yn cynnwys adran fer ar sut mae'r Cyngor wedi mynd ati i gydweithredu.

Ni awgrymwyd dim cynigion ar gyfer gwella yn y llythyr. Esboniwyd y byddai'r cynnydd a wna'r Cyngor yn gweithredu'r cynigion a gafodd eu datgan mewn llythyrau ac adroddiadau blaenorol yn parhau i gael eu monitro ac i gael adroddiadau arnynt.

Cadarnhawyd y byddai gwaith manylach yn cael ei wneud ar y trefniadau a gefnogai prosesau rheoli perfformiad ac adrodd y Cyngor. Byddai crynodeb o'r holl waith a wnaed gan SAC, a'r cyrff rheoleiddio perthnasol yn 2013-14, yn cael ei ddarparu mewn Adroddiad Gwella Blynyddol sydd i'w gyhoeddi ym Mawrth, 2014.

PENDERFYNWYD – *bod y Pwyllgor Llywodraethu Corfforaethol yn derbyn llythyr Swyddfa Archwilio Cymru ac yn nodi ei gynnwys.*

(ii) Gwerthusiad ac Adolygiad yr Arolygiaeth Gwasanaethau Cymdeithasol o'r Awdurdod Lleol 2012-13

Roedd copi o'r adroddiad gan y Prif Reolwr: Cymorth Busnes, ar y prif faterion a oedd yn codi o werthusiad Arolygiaeth Gofal a Gwasanaethau Cymdeithasol Cymru (AGGCC) o berfformiad Gwasanaethau Cymdeithasol Sir Ddinbych yn 2012-13, wedi'i gylchredeg gyda'r papurau ar gyfer y cyfarfod.

Cafodd yr adroddiad ei gyflwyno gan y Cyfarwyddwr Corfforaethol: Moderneiddio a Lles (CC:MLI) ac roedd yn cynnwys gwerthusiad o berfformiad ar gyfer y Gwasanaethau Cymdeithasol gan gynnwys meysydd cynnydd, meysydd i'w gwella a meysydd risg. Amlygodd y gwerthusiad y rhaglen foderneiddio uchelgeisiol a fyddai'n siapiro gwasanaethau a phrofiadau dinasyddion, a chydabu'r arweinyddiaeth gadarn ac effeithiol ar bob haen gyda thystiolaeth gadarn o gynnydd parhaus er gwaethaf yr heriau a wynebir.

Nodwyd nifer o feysydd penodol i'w gwella yn adroddiad yr AGGCC a byddent yn cael eu trafod yn ystod cyfarfodydd cysylltu rheolaidd rhwng yr Uwch Dîm Rheoli ac AGGCC dros y flwyddyn nesaf. Ymysg y meysydd y byddai AGGCC yn eu holrhain y flwyddyn nesaf yr oedd:-

- Sefydlu canlyniadau mesuradwy clir i gynorthwyo gyda gwerthuso gwasanaethau presennol a gwasanaethau arfaethedig.
- Asesu a chefnogaeth i ofalwyr.
- Perfformiad o safbwynt plant sy'n derbyn gofal.
- Trefniadau Diogelu Rhag Colli Rhyddid.
- Lefelau salwch ymysg y staff.
- Arolygiad thematig cenedlaethol o blant sy'n derbyn gofal.
- Arolygiad thematig cenedlaethol o gomisiynu gofal cymdeithasol i bobl hŷn.
- Gweithio mewn partneriaeth gyda Bwrdd Iechyd Prifysgol Betsi Cadwaladr.

Mewn ymateb i gwestiynau gan y Cyngorydd M.L. Holland, darparwyd y rhesymeg ar gyfer arolygiadau thematig cenedlaethol, a gynhelir ledled Cymru gan Lywodraeth Cymru. Esboniwyd bod trefniadau diogelu rhag colli rhyddid yn sicrhau bod trefniadau priodol wedi'u sefydlu i ddiogelu rhyddid pobl hŷn.

Darparai Atodiad II drosolwg ar y meysydd y nodir eu bod yn dangos cynnydd a'r meysydd i'w gwella yn y gwerthusiad o berfformiad. Cynhwysai hefyd wybodaeth am sut ymatebodd y Cyngor i'r meysydd i'w gwella.

Roedd y meysydd y nodwyd bod angen eu gwella yn unol â hunan asesiad y Cyfarwyddwr ac roeddent wedi'u cynnwys yng Nghynlluniau Busnes Gwasanaethau ar gyfer 2013-14. Roedd gan bob gwasanaeth Her Perfformiad Gwasanaeth blynyddol a oedd yn archwilio'r cynnydd yn erbyn Cynlluniau Busnes Gwasanaethau. Gwnaed cynnydd sylweddol yn erbyn y meysydd i'w gwella a amlygwyd yn adroddiad gwerthuso perfformiad 2011-12. Er hynny, ni wnaed cynnydd mor sylweddol ac y disgwyliwyd yn y meysydd canlynol:-

- Lefelau absenoldeb oherwydd salwch. Er gwaethaf atebolrwydd cadarnach y rheolwyr, ac adrodd a monitro mwy trylwyr yn y ddau wasanaeth, mae'r lefelau salwch ymysg y staff yn uchel o hyd o'u cymharu â gweddill yr awdurdod. Mae hwn felly'n parhau i fod yn flaenoriaeth i'r ddau wasanaeth.
- Gwell cysondeb o safbwynt darparu cefnogaeth i deuluoedd yn dilyn dadgofrestru oddi ar y gofrestr amddiffyn plant. Fodd bynnag, dylid nodi y gwnaed cynnydd yn y maes hwn gyda threfniadau pontio clir yn y gwasanaethau (Gwasanaeth Integredig Cymorth i Deuluoedd; Tîm o Amgylch y Teulu; Teuluoedd

yn Gyntaf) sy'n sicrhau ymateb priodol gan y gwasanaethau i deuluoedd wrth i'w hanghenion wella a/ neu ddirywio.

Darparwyd cyflwyniad gan Mr Peter Graham, Cyfarwyddwr Rhanbarthol AGGCC, ar Fframwaith Adrodd Blynnyddol Cyngor Sir Ddinbych 2012/2013 a oedd yn cynnwys:-

- Meysydd cynnydd allweddol ar gyfer 2012/13 a meysydd i'w gwella i'r dyfodol.

- crynodeb o'r rhaglen foderneiddio uchelgeisiol, cynnydd parhaus, arweinyddiaeth gadarn, defnyddio dull herio gwasanaethau, darparai adroddiad y Cyfarwyddwr naratif cydlynol, y rhaglen foderneiddio a Swyddfa Archwilio Cymru wedi nodi bod gan y Cyngor gynlluniau uchelgeisiol ond cyflawnadwy gyda chynlluniau tymor canolig effeithiol.

- Gwasanaethau Oedolion.

- Roedd pwyslais y Cyngor ar ymyrraeth gynnar, atal ac ail-alluogi yn golygu bod llai o bobl yn cael cefnogaeth mewn gofal preswyl.

- Cefnogaeth barhaus yn cael ei darparu i ddefnyddwyr gwasanaethau yn eu cymunedau, gyda llawer yn elwa o becynnau cefnogaeth tymor byr i ailsefydlu eu hannibyniaeth.

- Cydnabyddiaeth o'r angen i wella darparu cefnogaeth i ofalwyr.

- Materion yn ymwneud â sicrhau cyswllt amserol, gwneud penderfyniadau a gweithredu ar lefel strategol gyda'r BILL. Roedd yr ymrwymiad i sicrhau cysylltiad mwy effeithiol o fewn Bwrdd Iechyd Prifysgol Betsi Cadwaladr yn amlwg o hyd.

- Gwasanaethau Plant.

- roedd y perfformiad yn erbyn ystod sylweddol o ddangosyddion cenedlaethol yn uchel o hyd.

- darparwyd ymateb effeithiol i atgyfeiriadau a dderbyniwyd. Perfformiodd Sir Ddinbych yn dda i gyflawni'r cyfrifoldebau o safbwynt amddiffyn plant a phlant mewn angen.

- cydnabuwyd yr angen i wella gwasanaethau i ofalwyr ifanc a gadawyr gofal a chymerwyd camau i gyflawni hyn.

- roedd y Cyngor wedi cynnal a gwella mewn nifer o ddangosyddion perfformiad yn ymwneud â phlant sy'n derbyn gofal. Roedd nifer o berfformiadau mewn dangosyddion allweddol wedi dirywio, roedd angen dadansoddi hyn ymhellach er mwyn deall y rhesymau sy'n sail i'r newid mewn perfformiad a'r camau sy'n ofynnol i sicrhau gwelliant.

- Roedd AGGCC wedi gweld y risgiau posibl canlynol:-

- Gallu parhaus i ddylanwadu ar gynllunio strategol sy'n canolbwyntio'n lleol gyda Bwrdd Iechyd Prifysgol Betsi Cadwaladr.

- Sicrhau cyfnod pontio llyfn pan fydd y Cyfarwyddwr presennol yn ymddeol y flwyddyn nesaf.

Pwysleisiodd y Cynghorydd M.L. Holland bwysigrwydd gwella'r cysylltiad gyda'r Bwrdd Iechyd ac amlygodd bryderon hirdymor am symud gofal i'r gymuned.

Pwysleisiodd y Cadeirydd y byddai'n hanfodol i'r Cyngor gysylltu â'r Awdurdod Iechyd. Cymeradwyodd y farn a fynegwyd gan Gyfarwyddwr Rhanbarthol AGGCC fod y cysylltiadau lleol yn dda ond bod angen gwella'r lefelau strategol. Cyfeiriodd CC:MLI at sefydlu'r Bwrdd Iechyd a Gofal Cymdeithasol. Er hynny, mynegwyd pryder ynglŷn â'r anghysondeb yng nghynrychiolaeth y Bwrdd Iechyd, mater yr oeddent yn awr wedi cytuno i roi sylw iddo. Roedd Cadeirydd y Bwrdd Iechyd wedi cynnal adolygiad o bartneriaeth i bwysu a mesur eu perthynas gydag ALLau, a byddent yn mynd ar drywydd ffurf ar reolwyr ardal ar ôl penodi'r Prif Weithredwr newydd, a byddai hyn yn cynorthwyo'r ALI i roi trefn ar eu gwasanaethau. Hysbyswyd yr Aelodau y byddai'r Pwyllgor Archwilio Partneriaethau yn cael adroddiad ar Fframwaith ar gyfer Gwasanaethau Integredig i Bobl Hŷn.

Gofynnodd Mr P. Whitham a fyddai crynodeb o'r sylwadau manwl ynglŷn â risgiau yn Atodiad 2 yn cael ei nodi fel mesurau lliniaru yn y Gofrestr Risg Gorfforaethol. Cyfeiriodd CC:MLI at Gofrestr Risg Gwasanaethau Unigol a oedd yn darparu manylion manwl ac eglurhad o'r risgiau a ddynodir.

Mewn ymateb i'r pryderon a godwyd gan y Cadeirydd am lefelau salwch, cyfeiriodd CC:MLI at y Broses Herio Gwasanaethau a'r derbyniad cyffredinol bod gan y ddau wasanaeth, ar lefel uwch reolwyr a rheolwyr canol, systemau rheoli priodol wedi'u sefydlu i reoli salwch a chafwyd crynodeb o fanylion y broses. Darparwyd cadarnhad y byddai gweithredu'r Polisi Presenoldeb yn helpu i roi sylw i'r mater, ac roedd hyn yn un o'r amcanion i'r priod Aelod Arweiniol. Mynegodd Gyfarwyddwr Rhanbarthol AGGCC y farn bod y math emosiynol o waith a geir yn y rheng flaen yn cael ei adlewyrchu yn y lefelau salwch a welir. Pwysleisiodd bwysigrwydd bod â Pholisi Presenoldeb clir ynghyd â strategaeth i ddarparu cefnogaeth i staff pan maent i ffwrdd ar absenoldeb salwch. Hysbysodd CC:MLI y Pwyllgor y disgwyliad i'r Polisi Presenoldeb gael ei weithredu yn Ebrill, 2014.

Hysbysodd CC:MLI y Pwyllgor fod esboniad am y dirywiad yng nghanran y plant a oedd â chynllun gofal iechyd wedi'i sefydlu, ac asesiadau addysgol, wedi cael ei ddarparu gan Bennaeth y Gwasanaethau Plant a Theuluoedd yn Atodiad 2 yr adroddiad.

Mewn ymateb i bryderon a fynegwyd am y maes a nodwyd y dylid ei wella, sy'n ymwneud â dadgofrestru plant a oedd ar y 'gofrestr risg', cyfeiriodd CC:MLI at bwynt 4.6 o'r adroddiad a nodai'r cynnydd a wnaed gyda threfniadau pontio clir yn y gwasanaethau, Gwasanaeth Integredig Cymorth i Deuluoedd; Tîm o Amgylch y Teulu; Teuluoedd yn Gyntaf, a oedd yn sicrhau ymateb priodol i deuluoedd wrth i'w hanghenion wella neu ddirywio.

Yn ystod y drafodaeth a ddilynodd dymunodd y Cadeirydd ac Aelodau'r Pwyllgor y gorau i'r CC:MLI yn ei hymddeoliad maes o law, a diolchasant iddi am ei holl gymorth a'r gwaith a wnaeth gyda'r Pwyllgor.

Crynhodd y Cadeirydd y pwyntiau a'r materion amlycaf a godwyd yn y drafodaeth, gan gynnwys:-

- Nodi pwysigrwydd cysylltiad y Cyngor gyda'r Bwrdd Iechyd, yn enwedig ar lefel strategol. Hysbysodd y Cadeirydd yr Aelodau y byddai'n codi'r mater yng Ngrŵp y Cadeiryddion a'r Is-gadeiryddion.
- Monitro cynnydd y Polisi Presenoldeb.
- Monitro a sicrhau cyfnod pontio llyfn pan fydd y Cyfarwyddwr Corfforaethol: Moderneiddio a Lles presennol yn ymddeol, ac archwilio'r broses sefydlu ar gyfer y Cyfarwyddwr Corfforaethol newydd.

PENDERFYNWYD – bod y Pwyllgor Llywodraethu Corfforaethol:-

- (a) yn derbyn ac yn nodi cynnwys gwerthusiad AGGCC a'r adroddiad cynnydd cysylltiedig gan y gwasanaethau cymdeithasol.
- (b) yn nodi pwysigrwydd cysylltiad y Cyngor gyda'r Bwrdd Iechyd, yn benodol
- (c) ar lefel strategol
- (d) yn monitro cynnydd y Polisi Presenoldeb, ac yn
- (e) monitro ac yn sicrhau cyfnod pontio llyfn pan fydd y Cyfarwyddwr Corfforaethol: Moderneiddio a Lles presennol yn ymddeol, ac archwilio'r broses sefydlu ar gyfer y Cyfarwyddwr Corfforaethol newydd.

6 DIWEDDARIAD AR Y GYLLIDEB DDRAFFT

Roedd adroddiad gan y Pennaeth Cyllid ac Asedau, a gylchredwyd yn flaenorol, yn darparu'r trydydd diweddariad ynglŷn â'r broses o bennu cyllideb y Cyngor ar gyfer 2014/15.

Darparodd y Cynghorydd J. Thompson-Hill grynoded o'r adroddiad. Esboniodd fod dadansoddiad o'r Setliad Llywodraeth Leol Drafft a'r canlyniadau i'r Cyngor wedi dangos y byddai arbedion o oddeutu £8.5m yn ofynnol. Roedd proses y gyllideb hyd yma wedi arwain at fod arbedion o £1.7m ar gyfer 2014/15 wedi cael eu cymeradwyo gan y Cyngor Sir ym Medi (Cam 1) a £4.7m (Cam 2) ar 3^{ydd} Rhagfyr.

Roedd yr arbedion a gynhwyswyd yng Ngham 2 wedi'u cyflwyno gerbron Gweithdy i'r Aelodau yn Hydref gydag Aelodau Arweiniol, gan ddarparu manylion yr arbedion, yr effaith ynghyd ag asesiad risg. Gwahoddwyd yr Aelodau i roi sylwadau ar unrhyw rai o'r cynigion cyn y Cyngor yn Rhagfyr. Daeth ymatebion i law o safbwynt arbedion a gynigiwyd yn y gwasanaeth cerddoriaeth i ysgolion (£52k) ynghyd ag adolygiad o'r gwasanaeth cyfleoedd gwaith i oedolion ag anabledd dysgu (£50k). Adroddwyd wrth y Cyngor ar fanylion pellach i gefnogi'r arbediad yn y gwasanaeth cerddoriaeth, a sefydlwyd Grŵp Gorchwyl a Gorffen i oruchwylio'r adolygiad o gyfleoedd gwaith.

Roedd proses y gyllideb hyd yma wedi dynodi arbedion o £6.459m, gan adael bwlch o oddeutu £2.0m a dyma fu dan sylw yn y Gweithdy i'r Aelodau a gynhaliwyd ar 9^{fed} Rhagfyr. Cynhwyswyd manylion o'r sesiwn hon yn yr Atodiad wrth yr adroddiad a chynhwysai:-

Y Setliad Llywodraeth Leol Terfynol – Cyhoeddwyd y Setliad ar 11^{eg} Rhagfyr ac ni wnaed llawer o newidiadau i'r Setliad drafft. Y newid amlycaf oedd Grant Pensiynwyr y Cynllun Gostwng y Dreth Gyngor i'r Grant Cymorth Refeniw, a oedd yn awr yn ffurfio rhan o gyllideb sylfaenol y Cyngor.

Y Trydydd Gweithdy Cyllideb – Cynhaliwyd y gweithdy ar 9^{fed} Rhagfyr, 31 o aelodau. Cyflwynodd y brif thema fanylion a dewisiadau i'w hystyried i bontio'r bwlch £2m yn y gyllideb ar gyfer 2014/15.

Ymysg y wybodaeth allweddol a gyflwynwyd yr oedd:

- Diweddariad ar sefyllfa canol blwyddyn y gyllideb addysg a'r gyllideb gofal cymdeithasol
- Dadansoddiad o gyllid ysgolion
- Dewisiadau ar gyfer cynyddu cyllidebau ysgolion
- Adolygu balansau ac arian wrth gefn
- Diweddariad ar y Cynllun Corfforaethol
- Dewisiadau o safbwynt y Dreth Gyngor
- Cynigion ar gyfer Arbedion Ychwanegol
- Argymhelliad

Roedd y cynigion ar gyfer arbedion ychwanegol ar gyfer 2014/15 yn ymwneud â dwyn ymlaen arbedion a nodwyd yn flaenorol ar gyfer 2015/16 ac maent yn gwneud cyfanswm o £395k. Roedd £95k yn ymwneud â dwyn ymlaen ailstrwythurau mewn Busnes, Cynllunio a Pherfformiad a'r cynnig oedd symud £300k o'r cyfraniad cyllideb i falansau flwyddyn ynghynt nag a fwriadwyd yn wreiddiol. Roedd yr argymhelliad yn cynnwys cynnig i ddefnyddio balansau cyffredinol fel rhan o'r gyllideb yn 2014/15.

Byddai'r cynigion ar gyfer y gyllideb derfynol yn cael eu cyflwyno i'r Cyngor ar 27^{ain} Ionawr, 2014. Byddai'n cynnwys amrediad o ddewisiadau ynghyd ag argymhelliad i lefel y Dreth Gyngor gynyddu ar gyfer 2014/15, a byddai adroddiad manwl ar lefelau'r Dreth Gyngor yn cael ei gymeradwyo gan y Cyngor Sir yn Chwefror. Cyfeiriodd y CA at y broses ymgynghori ac at ffyrdd posibl i'r Pwyllgor wella cysylltiad yr Aelodau. Teimlai'r Cadeirydd fod cylchredeg y papurau i'w hystyried, cyn y Gweithdy, wedi helpu a hysbysu'r drafodaeth.

Mewn gweithdy cyllideb yn ddiweddar datgelwyd mai lefel y Dreth Gyngor fyddai'r drafodaeth allweddol yng ngham olaf cymeradwyo gyllideb 2014/15. Byddai amrywiaeth o ddewisiadau gyda'r Dreth Gyngor, a'u goblygiadau ariannol, yn cael eu cyflwyno i'r Cyngor yn Ionawr. O safbwynt proses y gyllideb, croesewir safbwyntiau'r Pwyllgor Llywodraethu Corfforaethol ar ffyrdd o annog cysylltiad a thrafodaeth gydag Aelodau unigol neu grwpiau cyn i'r adroddiad gael ei gyflwyno i'r Cyngor.

Darparodd y swyddogion yr ymatebion canlynol i faterion a godwyd gan yr Aelodau:-

- Darparwyd cadarnhad yr anogwyd yr Aelodau i godi unrhyw ystyriaethau am y cynigion gyda'r Aelod Arweiniol neu'r Pennaeth Cyllid ac Asedau unrhyw adeg cyn i'r cynigion ffurfiol gael eu cyflwyno i'r Cyngor i'w cymeradwyo.
- Y consensws barn cyffredinol yn y Gweithdy diweddar oedd y dylai'r cynnydd yn y Dreth Gyngor fod yn 3%. Esboniodd y Cynghorydd Thomson-Hill er mai hwn oedd y targed, y gellid bod angen rhoi ystyriaeth bellach i hyn yn ddibynnol ar elfennau cydbwysu eraill, megis yr elfen risg.
- Trafodwyd y dylai'r Awdurdod ddileu cyllid Swyddog yr Undeb yn flaenorol mewn cyfarfodydd Herio Gwasanaethau. Esboniwyd y teimlwyd bod modd i ganlyniadau posibl gweithredu o'r fath fod yn drech na'r arbedion posibl. Hysbysodd y CA yr Aelodau y gallai trafodaethau ynglŷn â'r mater gael eu cynnal gyda'r Undebau Llafur i'r dyfodol.
- Hysbyswyd y Pwyllgor bod y llyfogydd yn y Sir wedi effeithio ar y ffigurau presenoldeb yn y Gweithdy.
- Darparodd y CA fanylion y cynnydd dychrynlyd mewn costau pensiwn i'r Awdurdod a chadarnhaodd y gallai'r rhain gynyddu 20% dros y tair blynedd nesaf. Cyfeiriwyd at y newidiadau diweddar yn y ddeddfwriaeth a effeithiai ar y ffigurau, yn ogystal â'r newidiadau yn y rheoliadau goramser.
- Mewn ymateb i gwestiwn gan Mr P. Whitham am y risgiau sy'n gysylltiedig â chanlyniadau methu â bodloni'r gofynion i annog cysylltiad a thrafodaeth gyda'r Aelodau, rhoddodd y CA fanylion y prosesau dialog ac ymgynghori a fabwysiadwyd.
- Hysbyswyd yr Aelodau fod y cynllunio ar gyfer 2015/16 eisoes wedi dechrau ac y byddai'n dwysau ar ôl i gyllideb 2014/15 gael ei chymeradwyo. Nododd y Pwyllgor y byddai cynllunio cyllidebau i'r dyfodol yn eithriadol o heriol ac y byddai cyfraniad yr Aelodau i'r broses gwneud penderfyniadau'n hanfodol.

Mewn ymateb i gwestiwn gan y Cynghorydd M.L. Holland ynglŷn â chylch gorchwyl y Pwyllgor o safbwynt rhyngweithio gyda chyrrff allanol, cytunodd yr Aelodau i faterion yn ymwneud â Hamdden Clwyd gael eu cynnwys ar yr Agenda, fel eitem Rhan II, ar gyfer y Pwyllgor Llywodraethu Corfforaethol nesaf.

Ar ôl trafod ymhellach:-

PENDERFYNWYD – *bod y Pwyllgor Llywodraethu Corfforaethol:-*

- (a) *Yn derbyn yr adroddiad ac yn nodi'r sefyllfa ddiweddaraf a'r cynnydd a wnaed hyn yma, ac*
- (b) *Yn cytuno bod eitem Rhan II ar Hamdden Clwyd yn cael ei chynnwys ym Mlaenraglen Waith y Pwyllgor ar gyfer Ionawr, 2014.*

7 STRATEGAETH RHEOLI GWYBODAETH

Roedd adroddiad gan y Pennaeth Busnes, Cynllunio a Pherfformiad (PBCPh) wedi'i gylchredeg eisoes.

Cyflwynodd y PBCPh yr adroddiad gan amlygu'r angen i sicrhau bod y Cyngor yn rheoli ei wybodaeth yn effeithiol, gan alluogi iddynt wireddu a datblygu ei gwir werth fel ased corfforaethol i gefnogi cyflawni blaenoriaethau busnes, sicrhau arbedion a

lleihau risg. Roedd Strategaeth Rheoli Gwybodaeth, Atodiad 1, wedi'i datblygu i ddarparu fframwaith corfforaethol i reoli asedau gwybodaeth y Cyngor, ac fe'i cymeradwywyd i'w fabwysiadu gan yr Uwch Dîm Arweinyddiaeth. Hysbyswyd yr Aelodau o'r gwelliant yn rheolaeth gwybodaeth y Cyngor yn sgil y Strategaeth.

Roedd sefydliadau sector cyhoeddus dan bwysau cynyddol i wneud eu busnesau'n fwy effeithlon, gan sicrhau rheoli risg a dilyniant busnes ar yr un pryd. Yn ogystal, roedd mwy o archwilio allanol ar sut mae sefydliadau cyhoeddus yn rheoli eu gwybodaeth gyda symudiad at fwy o dryloywder a bod yn fwy agored o safbwynt y wybodaeth a ddelir, ynghyd â lefelau cynyddol o ofynion rheoleiddio sy'n golygu bod angen diogelu adnoddau gwybodaeth yn fwy trylwyr. Amlinellodd y Rheolwr Gwella Corfforaethol (RhGC) y gofynion o safbwynt diogelwch gwybodaeth, gan gyfeirio'n benodol at y Rhwydwaith Gwasanaeth Cyhoeddus a'r agenda dryloywder.

Roedd diffyg fframwaith corfforaethol diffiniedig i reoli gwybodaeth wedi arwain at fod yr arferion rheoli gwybodaeth yn anghyson ar draws y sefydliad, ac roedd manylion yr heriau niferus a grëwyd o'r herwydd wedi'u cynnwys yn yr adroddiad.

Er 2008, roedd adroddiad gan Swyddfa Archwilio Cymru a gan dîm Archwilio Mewnol y Cyngor, ill dau, wedi gweld gwendidau yn y ffordd yr oedd y Cyngor yn rheoli ei wybodaeth. Roedd y Cyngor wedi rhoi mwy o ffocws ar faterion rheoli gwybodaeth drwy ffurfio'r Tîm Gwybodaeth Corfforaethol ar ddiwedd 2012. Roedd y Tîm Gwybodaeth Corfforaethol yn awr wedi datblygu Strategaeth Rheoli Gwybodaeth i roi sylw i'r heriau a welwyd ac i sefydlu'r arferion gweithio gwell gofynnol yn y meysydd canlynol a nodir yn yr adroddiad:-

- Cydymffurfiaeth Gwybodaeth
- Mynediad i Wybodaeth
- Sicrwydd Gwybodaeth
- Ansawdd Gwybodaeth
- Cadw a Gwaredu Gwybodaeth
- Hyfforddiant a Chynyddu Ymwybyddiaeth o Wybodaeth

Byddai'r fframwaith a ddisgrifir yn y Strategaeth yn cefnogi'r Cyngor i gyflawni'r blaenoriaethau corfforaethol, drwy:-

- Sicrhau y gellir dynodi ein gwybodaeth yn gyflym ac yn rhwydd;
- Sicrhau bod ein gwybodaeth yn cael ei diogelu, yn unol â risg;
- Sicrhau bod gan ein staff a'n haelodau'r lefelau cymhwysedd gofynnol i reoli gwybodaeth yn briodol;
- Sicrhau bod ein gwybodaeth yn bodloni'r gofynion statudol; a
- Sicrhau bod ein cofnodion hanfodol yn cael eu dynodi a'u diogelu'n unol â hynny.

Mae cyllid ar gyfer y prosiect EDRMS wedi'i gymeradwyo gan y Tîm Gweithredol Corfforaethol am 3 blynedd arall, ac roedd nifer o gamau gweithredu wedi'u cynnwys yn y Strategaeth Rheoli Gwybodaeth a fyddai'n effeithio'n uniongyrchol ar yr holl Swyddogion a'r Aelodau, sef:-

- Hyfforddiant Gorfodol
- Enwi Ffeiliau
- Polisi e-bost
- Asesiad o'r Effaith ar Breifatrwydd
- Cyhoeddi gwybodaeth yn rhagweithiol
- EDRMS

Cydnabu'r Aelodau faint y dasg hon, ei phwysigrwydd ynghyd â'r angen am ddealltwriaeth o'r risgiau sy'n gysylltiedig â phroses y Strategaeth Rheoli Gwybodaeth.

Darparwyd yr ymatebion canlynol i faterion a godwyd gan Mr P. Whitham:-

- O safbwynt Diwygio DCC007: *Y risg fod gwybodaeth holl bwysig neu gyfrinachol yn cael ei cholli neu'i datgelu*. Esboniodd Mr Whitham nad oedd dim cyfeiriad at y Strategaeth fel mesur lliniaru na chyfeiriad yn yr adroddiad at ei bod yn Risg Gorfforaethol, ac awgrymodd y dylent fod yn gydgyssylltiedig.

- Gofynnodd Mr Whitham a oedd y Strategaeth yn cael ei rheoli fel prosiect ac a weithredwyd cynllun prosiect i fonitro'r cynnydd. Amlinellodd y PBCPh rôl y gwasanaeth Archwilio Mewnol a chadarnhaodd fod yr Awdurdod yn awyddus i fonitro cynnydd a sicrhau bod y Pwyllgor yn cael adroddiadau cynnydd. Cafodd y farn a fynegwyd gan Mr Whitham, y dylai rhaglen reoli gynhwysfawr gael ei mabwysiadu, ei chefnogi gan y PBCPh.

- Cytunodd y Pwyllgor, dan y pennawd 'Cwmpas' ar Dudalen 54 o Atodiad 1 y dylai *Mae'r Strategaeth Rheoli Gwybodaeth yn berthnasol i'r holl wybodaeth a ddelir gan y Cyngor ar ba bynnag fformat* gynnwys eglurhad bod hyn yn cynnwys swyddogion ac Aelodau. Cyfeiriodd Mr Whitham at *Mae gan y Cyngor ddyletswydd i ysgolion ac o'r herwydd mae croeso i ysgolion fabwysiadu'r strategaeth hon os dymunant* gan awgrymu y dylid cyflwyno pwerau gweithredu cadarnach. Esboniodd y PBCPh nad oedd yr Awdurdod ond mewn sefyllfa i ddarparu cyngor a chymorth i ysgolion.

- Mewn ymateb i gwestiwn gan Mr Whitham, am ddarparu sicrwydd y gellid gweld a dod o hyd i'r amrywiol bolisïau, protocolau a threfnau a osodir ar wefan electronig y Cyngor, amlygodd y Rheolwr Swyddfa'r Rhaglen Gorfforaethol bwysigrwydd mynediad rhwydd ac amlinellodd yr amrywiol beirianweithiau sydd ar gael. Esboniodd y gallai cynnal cofrestr, drwy gyfrwng e-ddysgu, ddarparu manylion mynediad a monitro defnydd. Pwysleisiodd y Cadeirydd bwysigrwydd Rheoli Gwybodaeth a darparu hyfforddiant ar draws y Cyngor o safbwynt dosbarthu gwybodaeth.

Mewn ymateb i bryderon a godwyd gan y Cynghorydd M.L. Holland ynglŷn â risg o safbwynt cydnawsedd systemau, sicrhawyd yr Aelodau bod y system a ddefnyddiwyd gan Sir Ddinbych yn gydnaws â'r rheini a ddefnyddiwyd gan ALLau eraill cyfagos. Teimlai'r Cynghorydd Holland y byddai darparu canllawiau clir i ddefnyddwyr y system yn hanfodol yn ystod y cyfnod trawsnewid. Mynegodd y PBCPh y farn nad oedd staff yn gweithio o adref yn cyflwyno risg ddiogelwch i'r Awdurdod.

Yn ystod y drafodaeth a ddilynodd:-

PENDERFYNWYD – bod y Pwyllgor Llywodraethu Corfforaethol:-

- (a) yn derbyn yr adroddiad ac yn nodi fframwaith y Cyngor ar gyfer rheoli ei asedau gwybodaeth, fel y gwelir yn y Strategaeth Rheoli Gwybodaeth.
- (b) yn nodi bod y risgiau a amlygir o safbwynt y Polisi a'r Strategaeth Rheoli Gwybodaeth yn cael eu cynnwys yn y Gofrestr Risg Gorfforaethol, a'u nodi fel ffactor lliniarol.
- (c) yn cynnig bod rheolaeth brosiect yn cael ei rhoi dros ddull rheoli'r Strategaeth.
- (d) yn gofyn am ddarparu hyfforddiant gorfodol i Aelodau Etholedig a staff o safbwynt y Strategaeth.
- (e) yn cydnabod pwysigrwydd y gwaith dan sylw.
- (f) yn gofyn i gopi o'r Blaen Gynllun gael ei gyflwyno i'r Pwyllgor yn Ionawr, 2014, ac
- (g) yn cytuno y dylid estyn gwahoddiad i fynychu hyfforddiant arbenigol ar Ddiogelu Data i Aelodau'r Pwyllgor.

8 NEWID YN NHREFNIADAU RHEOLI'R GWASANAETH ARCHWILIO MEWNOL

Roedd adroddiad gan y Pennaeth Busnes, Cynllunio a Pherfformiad (PBCPh), a fanylai ar newid arfaethedig yn y rheolaeth linell ar gyfer y Pennaeth Archwilio Mewnol (PAM) ac ar symud y tîm o Cyllid ac Asedau (CA) i Busnes, Cynllunio a Pherfformiad (BCPh), wedi'i gylchredeg yn flaenorol.

Cyflwynodd y PBCPh adroddiad a ddarparai wybodaeth am newid arfaethedig yn strwythur gwasanaethau a fyddai'n effeithio ar Archwilio Mewnol (AM). Darparwyd sicrhad na fyddai hyn yn cyfaddawdu effeithiolrwydd y swyddogaeth AM.

Roedd trefniadaeth y gwasanaethau a gyflenwir gan yr Uwch Dîm Arweinyddiaeth wedi datblygu'n barhaus i gynnal y ffocws ar amcanion y Cyngor, ac i gadw ochr yn ochr â'r galwadau gweithredol. Roedd yr angen i sicrhau arbedion wedi creu sialensiau nas gwelodd y Cyngor eu bath o'r blaen, gyda phwysau penodol yn sicr o gael eu gweld yn y 2 flynedd ariannol nesaf. Roedd yr her i'r gwasanaethau cymorth yn golygu canfod sut i wneud pethau mor effeithlon â phosibl. Byddai'n hanfodol i wasanaethau fod yn rhagweithiol, a bod yn gwbl barod am ostyngiadau mewn adnoddau drwy gysoni a symleiddio prosesau pryd bynnag y bo hynny'n bosibl, chwilio am synergeddau ac elfennau cyffredin a fyddai'n caniatáu cysoni a gogwyddo trefn gwasanaethau'n gadarn o amgylch blaenoriaethau'r Cyngor.

Ar hyn o bryd roedd AM yn rhan o Cyllid ac Asedau (CA) gyda'r PAM yn adrodd wrth y Pennaeth CA. Er hynny, roedd y gwaith yn gorgyffwrdd fwyfwy gyda gwaith BCPh, yn enwedig gan fod AM wedi symud at 'wella gwasanaethau' fel ffocws pwysig. Roedd y ffocws ar wella yn gam arloesi defnyddiol i'r Cyngor, ond roedd y gorgyffwrdd gyda'r Tîm Gwella yn BCPh wedi cyrraedd pwynt lle codwyd y mater o ddyblygu posibl. Byddai'n bwysig yn yr hinsawdd ariannol bresennol i'r galwadau

'corfforaethol' ar wasanaethau sy'n wynebu'r cwsmeriaid gael sylw a chael eu lleihau i'r eithaf.

Byddai integreiddio gwaith y ddwy swyddogaeth hyn yn agosach yn dileu'r mater hwn, a byddai'n darparu manteision ychwanegol fel y gwelir yn yr adroddiad. Gellid cyflawni hyn drwy fod yr AT yn dod yn rhan o BCPH, gyda'r PAM yn rheolwr llinell ar y PBCPH. Byddai hyn yn sicrhau'r cyfleoedd gorau posibl i gysoni rhaglenni a rhannu gwaith, yn enwedig gwaith ymchwil, ac yn helpu i leihau'r 'baich' ar wasanaethau rheng flaen. Byddai'r manteision amlycaf i'w cael ym maes gwella a gwaith cysylltiedig â pherfformiad, ond mae manteision yn deillio o gydlyniant yn debygol ar draws rhaglenni'r ddau dîm. Byddai'r rhan fwyaf o'r trefniadau presennol yn aros fel y maent er hynny, gan gynnwys mesurau diogelu ar weithredu annibynnol:

- Byddai un elfen allweddol o'r rhaglen Archwilio Mewnol yn parhau i ganolbwyntio ar reolaeth ariannol a mewdol, dan gyfarwyddyd swyddog Adran 151.
- Byddai annibyniaeth y rôl yn parhau i gael ei gwarantu gan y byddai'r PAM yn dal i gadw cyswllt adrodd drwy gyfrwng y Swyddog Adran 151 a'r Prif Weithredwr.
- Byddai'r Pwyllgor yn parhau i oruchwylio'r swyddogaeth yn ei chyfangorff, gan gynnwys yr adroddiad AM a chynhyrchu'r Datganiad Llywodraethu Blynyddol.

Esboniodd y PBCPH y byddai'r symudiad yn symleiddio gwaith gwella'r Cyngor drwy greu o bosibl gyfleoedd ar gyfer arbedion i'r dyfodol, lleihau'r baich ar wasanaethau rheng flaen a gwella gallu'r Cyngor i gefnogi newid trawsnewidiol gan ddiogelu'r swyddogaethau archwilio craidd ar yr un pryd.

Mewn ymateb i gwestiynau gan Mr P. Whitham ynglŷn â darparu siart strwythur a phroses adrodd, cyfeiriodd y PAM at y Siarter Archwilio Mewnol, a fyddai'n cael ei diwygio a'i chyflwyno i'r Pwyllgor Llywodraethu Corfforaethol i'w chymeradwyo, ochr yn ochr â'r Cynllun Archwilio Mewnol. Hysbyswyd y Pwyllgor y disgwyliwyd y byddai'r newidiadau'n cael eu gweithredu o 1^{af} Ionawr 2014 ymlaen, a darparwyd manylion y cynlluniau adleoli. Darparwyd cadarnhad y sicrheir cydymffurfiaeth â'r arferion gorau, megis y Sefydliad Siartredig Archwilwyr Mewnol.

Roedd yr adroddiad yn cynnwys manylion y broses ymgynghori a wnaed a'r camau a gymerwyd i roi sylw i unrhyw risgiau posibl.

PENDERFYNWYD – *bod y Pwyllgor Llywodraethu Corfforaethol yn nodi ac yn cefnogi'r adolygiad arfaethedig o drefniadau rheoli gwasanaeth Archwilio Mewnol.*

9 ADRODDIAD Y GOFRESTR RISG GORFFORAETHOL

Roedd copi o'r adroddiad gan y Pennaeth Busnes Cynllunio a Pherfformiad ar adolygiad ffurfiol Tachwedd 2013 o'r Gofrestr Risg Gorfforaethol, wedi'i glychredeg gyda'r papurau ar gyfer y cyfarfod.

Cyflwynodd y Rheolwr Gwella Corfforaethol (RhGC) adroddiad a gynhwysai'r fersiwn ddiweddaraf o'r Gofrestr Risg Gorfforaethol, fel y cytunwyd arni yng

nghyfarfod Briffio'r Cabinet. Yn flaenorol, i'r Tîm Gweithredol Corfforaethol yn unig y cyflwynwyd yr adroddiad. Er hynny, bu cynnwys yr Aelodau i'w datblygu a'i rheoli yn ddoeth. Ystyriwyd mai'r ffordd fwyaf effeithiol oedd cynnwys yr Aelodau Arweiniol mewn Cyfarfod briffio i'r Cabinet.

Roedd crynodeb o'r prif faterion i'w nodi ar gyfer y Gofrestr Risg Gorfforaethol wedi'u rhestru yn yr adroddiad. Cyfeiriodd y RhGC at y materion hyn a amlygwyd:-

Diwygio DCC004: *Y risg nad yw'r fframwaith Adnoddau dynol yn cefnogi nodau'r sefydliad.* Roedd y sgôr risg gynhenid a gweddilliol yn union yr un fath o hyd. Er hynny, roedd y plattform ar gyfer gwella wedi'i gyflwyno a rhagwelwyd y byddai'r lefel risg yn gostwng yn y dyfodol agos.

Dileu DCC015: *Y risg na fydd y trefniadau cydweithredu y mae Sir Ddinbych yn cyfranogi ynddynt yn gwireddu'r manteision a ragwelir a/neu'n cael effaith niweidiol o ran cyllid a/neu ansawdd gwasanaeth.* Mewn ymateb i gwestiwn gan Mr P. Whitham am oblygiadau trefniadau cydweithredu newydd sy'n cael eu hyrwyddo ar hyn o bryd, esboniodd y RhGC fod y risg wedi'i dileu, gan fod unrhyw drefniadau cydweithredu mawr yr oedd y Cyngor yn rhan ohonynt yn awr wedi'u sefydlu, ac y byddai eu perfformiad a'u risg yn cael eu rheoli ar lefel gwasanaethau. Cyfeiriodd y PBCPh at risgiau posibl i'r dyfodol a chyfeiriodd hefyd at ganlyniad Comisiwn Williams. Esboniwyd y byddai'r adolygiadau'n cael eu cynnal bob chwe mis ac y byddai'r adolygiad nesaf yn cyd-daro â chwblhau'r gyllideb. Cadarnhaodd Pennaeth y Gwasanaethau Democrataidd a Chyfreithiol y gallai risgiau newydd godi wrth aros am ganlyniad Comisiwn Williams.

Diwygio DCC016: *Y risg y bydd effaith diwygio lles yn fwy sylweddol nag a ragwelwyd gan y cyngor.* Un cam lliniaru i gryfhau llywodraethu'r Grŵp fu cynnwys Cadeirydd y Pwyllgor Llywodraethu Corfforaethol ar y Grŵp.

Cyfeiriodd y Cadeirydd at Ddiwygio DCC007: *Y risg bod gwybodaeth gyfrinachol neu dyngedfennol yn cael ei cholli neu'i datgelu,* a Diwygio DCC013: *Risg rhwymedigaethau sylweddol yn ariannol ac o ran enw da yn sgil rheoli rhai sefydliadau Hyd Braich.* Esboniodd fod risgiau wedi codi'n ddiweddar oherwydd digwyddiadau diweddar ar y llain arfordirol, yn ymwneud â chwmnïau hyd braich, ac a oedd y tu hwnt i reolaeth y Cyngor. Esboniodd y PBCPh y gallai'r amgylchiadau yn ymwneud â risgiau newid yn ddyddiol, a chadarnhaodd, yn ddamcaniaethol ac yn ffurfiol, y gallai'r Gofrestr Risg gael ei diweddarau unrhyw adeg.

Roedd manylion yr ymgynghoriadau a gynhaliwyd, Datganiad y Prif Swyddog Cyllid a'r risgiau a'r camau a weithredwyd i roi sylw iddynt wedi'u cynnwys yn yr adroddiad.

PENDERFYNWYD - *bod y Pwyllgor Archwilio Perfformiad yn nodi'r hyn a ddilëwyd, a ychwanegwyd ac a ddiwygiwyd yn y Gofrestr Risg Gorfforaethol.*

Roedd adroddiad gan Bennaeth y Gwasanaethau Democrataidd a Chyfreithiol (PGDCh), am gynnig i'r 22 awdurdod unedol gytuno ar uchafswm gwirfoddol ar lefel yr indemniad sydd ar gael i aelodau etholedig o safbwynt achosion yn ymwneud â honiadau o dorri'r Cod Ymddygiad, wedi'i gylchredeg gyda'r papurau ar gyfer y cyfarfod.

Cyflwynodd y PGDCh yr adroddiad a geisiai argymhelliad i'r Cyngor fod yr indemniad sydd ar gael i Aelodau sy'n gysylltiedig â gwrandawiadau Cod Ymddygiad yn cael eu capio ar uchafswm o £20,000. Roedd pryderon wedi'u mynegi ynglŷn â maint yr indemniad a ddarparwyd gan ALLau i Aelodau mewn amgylchiadau o'r fath gan, ymysg eraill, CLILC, yr Ombwdsmon Gwasanaethau Cyhoeddus a Chadeirydd Panel Dyfarnu Cymru. Roedd llythyr gan y Gweinidog Llywodraeth Leol a Chymunedau bryd hynny ynglŷn â'r fframwaith moesegol, a oedd yn cynnwys cyfeiriad at uchafswm gwirfoddol ar yr indemniad a roddwyd gan ALLau, wedi cael ei ystyried gan y Pwyllgor Safonau, ac roedd hwn wedi dangos cefnogaeth i fesur o'r fath.

Roedd yr Ombwdsmon yn wreiddiol wedi cynnig uchafswm o £10,000 ond roedd Cyngor CLILC wedi cymeradwyo uchafswm o £20,000 ar y sail nad oedd y lefel a gynigiwyd gan yr Ombwdsmon yn ddigonol ac ystyried cymhlethdodau rhai achosion. Cytunodd Cyngor CLILC hefyd y dylai ALLau, fesul achos, ystyried rhoi indemniad ai peidio ac ar ba lefel, ond na ddylai'r un indemniad fod yn fwy nag £20,000.

Yn Sir Ddinbych roedd gan y Pwyllgor Llywodraethu Corfforaethol y pŵer i ystyried lefel cynrychiolaeth broffesiynol Aelod dan delerau'r indemneb i Aelodau a swyddogion fel y cymeradwywyd gan y Cyngor ar 23^{ain} Medi, 2008. Roedd i lefel yr indemniad oblygiadau nid yn unig o safbwynt rheoli'r posibilrwydd o gostau cyfreithiol sylweddol ond yr effaith ar amser uwch swyddogion y Cyngor a gweision cyhoeddus eraill. Ceid y posibilrwydd hefyd, yn absenoldeb uchafswm, y ceid 'cystadleuaeth' gyfreithiol a allai arwain at gost gynyddol. Roedd yr Ombwdsmon wedi cytuno, ym mhob achos, na fyddai ei gostau cyfreithiol ei hun yn cael mynd dros y lefel a osodir gan yr uchafswm arfaethedig.

Crynhodd y PGDCh y materion allweddol yn yr adroddiad ac esboniodd, os yw'r Pwyllgor yn argymhell yr uchafswm arfaethedig i'r Cyngor, y byddai'r indemneb yn cael ei newid drwy gynnwys y geiriau a welir mewn italeg yn y ddogfen sydd ynghlwm fel Atodiad 1 wrth yr adroddiad hwn.

Mewn ymateb i gwestiynau gan y Cadeirydd ynglŷn â rôl a chylch gorchwyl y Pwyllgor, ac unrhyw ffactorau mesur o safbwynt penderfynu ar unrhyw geisiadau am indemniad i'r dyfodol, amlinellodd y PGDCh brotocolau posibl y gellid eu hystyried. Awgrymodd y gallai'r ffactorau y gellid eu hystyried o bosibl gynnwys natur a difrifoldeb yr honiad a wneir, yr adnoddau sydd ar gael, y cyngor a'r arweiniad i'r priod Aelod.

Ar ôl trafod ymhellach:-

PENDERFYNODD Aelodau'r Pwyllgor – bod y Pwyllgor Llywodraethu Corfforaethol yn argymhell i'r Cyngor:-

- (a) bod y Pwyllgor Llywodraethu Corfforaethol yn ystyried, fesul achos, bob cais am indemniad costau er mwyn penderfynu a ddylid rhoi indemniad o gwbl.
- (b) os penderfynir, mewn unrhyw achos unigol, rhoi indemniad o safbwynt materion sy'n ymwneud â thorri Cod Ymddygiad yr Aelodau, y dylai'r Pwyllgor Llywodraethu Corfforaethol benderfynu swm yr indemniad hwnnw hyd at uchafswm o £20,000, a
- (c) a bod Cyfansoddiad y Cyngor a'r indemneb yn cael eu diwygio fel y bo'r angen i adlewyrchu'r penderfyniadau hyn.

11 ADRODDIAD CYNNYDD ARCHWILIO MEWNOL

Roedd adroddiad gan y Pennaeth Archwilio Mewnol, a roddai ddiweddariad ar gynnydd diweddaraf Archwilio Mewnol o safbwynt cyflenwi gwasanaethau, darparu sicrwydd, adolygiadau a gwblhawyd, perfformiad ac effeithiolrwydd yn symbylu gwelliant, wedi'i gylchredeg yn flaenorol.

Cyflwynodd y PAM yr adroddiad a roddai ddiweddariad ar:-

- gyflenwi'r Cynllun Sicrwydd ar gyfer 2013/14
- adroddiadau Archwilio Mewnol a gyflwynwyd yn ddiweddar
- ymateb y rheolwyr i faterion a godwyd
- perfformiad Archwilio Mewnol
- Cynnydd Archwilio Mewnol

Roedd dadansoddiad o'r gwaith yn ystod 2013/14, o'i gymharu â'r Strategaeth Archwilio Mewnol, wedi'i gynnwys yn Atodiad 1. Cynhwysai sgoriau sicrwydd a nifer o faterion a godwyd ar gyfer yr adolygiadau a gwblhawyd, diffiniadau a ddefnyddiwyd i ffurfio'r sicrwydd archwilio, a'r sgoriau a ddefnyddiwyd i asesu'r lefelau risg ar gyfer materion a godwyd.

Darparwyd crynodeb o'r Adroddiadau Archwilio Mewnol diweddar, ynghyd â manylion y lliwiau a ddefnyddiwyd ar gyfer sgoriau sicrwydd. Roedd yr adroddiadau a gyflwynwyd er Tachwedd 2013 wedi'u cylchredeg, ac atodwyd Adroddiadau crynodeb gweithredol a Chynlluniau Gweithredu wrth yr adroddiad fel gwybodaeth bellach a gynhwysai:-

- Syniadaeth ac Asesu ar gyfer Grant Dysgu 2011-12
- Sicrwydd Ariannol 2013/14 – gwasanaethau a leolir yn y Rhyl
- Cyngor Lles
- Iechyd a Diogelwch Corfforaethol

Nodai'r rhan fwyaf o'r adroddiadau Archwilio Mewnol risgiau a gwendidau rheoli. Sgoriwyd y rhain fel risg ddifrifol, sylweddol neu gymedrol ac roedd y rheolwyr wedi cytuno ar gamau gweithredu i roi sylw i'r risgiau, gan gynnwys cyfrifoldebau ac amserlenni.

Adroddwyd am yr holl achosion lle'r oedd rheolwyr wedi methu ag ymateb i waith dilynol, neu lle'r oeddent wedi mynd mwy na thri mis dros y dyddiad gweithredu y

cytunwyd arno. Byddai unrhyw benderfyniad ar gymryd camau pellach ai peidio'n cael ei gymryd gan y Pwyllgor. Cadarnhawyd bod yr adroddiadau canlynol wedi'u dilyn i fyny ac nad oedd dim ymatebion heb ddod i law:-

- Gweithrediadau Cefn Gwlad
- Gwasanaeth Maethu
- Dirprwy dros Gyllid (Llys Gwarchod)
- Ysgol Clawdd Offa, Prestatyn
- Theatr y Pafiliwn, y Rhyl
- Tir y Cyhoedd.

Cynhwyswyd crynodeb o Berfformiad Archwilio Mewnol yn yr adroddiad, ac roedd Safonau Cwsmeriaid a Sicrwydd Hanfodol wedi cael sgôr o 100%. Hysbysodd y PAM yr Aelodau fod Archwilio Mewnol wrthi'n tendro i archwilio Heddlu Gogledd Cymru.

Roedd copi o adroddiad dilynol Archwilio Mewnol ar Ysgol Clawdd Offa, Prestatyn wedi'i gynnwys fel Atodiad wrth y papurau ar gyfer y cyfarfod, fel y gofynnodd yr Aelodau ar 4^{ydd} Medi, 2013. Cadarnhaodd y PAM fod yr ysgol wedi gwneud gwelliannau sylweddol ers yr adroddiad ym Mehefin 2013. O'r 21 o faterion a godwyd, rhoddwyd sylw i 17 ac roedd 4 arall yn mynd rhagddynt, gydag ond ychydig o waith yn angenrheidiol i'w cwblhau.

Darparai'r Cynllun Gweithredu fanylion y cynnydd a wnaed ynghyd ag esboniad byr o'r hyn y mae angen i'r Ysgol ei wneud i gwblhau'r materion hyn sydd angen sylw. Pe byddai'r Ysgol yn darparu tystiolaeth bod y camau gweithredu wedi'u cwblhau erbyn diwedd Rhagfyr 2013, ni fyddai ymweliadau dilynol pellach yn ofynnol. Gobeithiwyd y byddai'r Ysgol yn cynnal y cynnydd a'r gwelliannau a wnaed, a chafodd y sgôr Barn Archwilio ei haddasu i Sicrwydd Canolig, wrth aros i'r camau sydd angen sylw gael eu cwblhau.

PENDERFYNWYD – bod y Pwyllgor Llywodraethu Corfforaethol:-

- (a) yn nodi cynnydd a pherfformiad Archwilio Mewnol hyd yma yn 2013/14, ac
- (b) yn derbyn ac yn nodi adroddiadau diweddar Archwilio Mewnol a'r ymweliadau dilynol a wnaed, gan gynnwys Ysgol Clawdd Offa. Prestatyn.

12 ADBORTH O'R CYFARFOD CYDRADDOLDEB CORFFORAETHOL

Adroddodd y Cynghorydd M.L. Holland nad oedd y Grŵp Cydraddoldeb Corfforaethol wedi cwrdd ers cyfarfod blaenorol y Pwyllgor Llywodraethu Corfforaethol.

13 RHAGLEN WAITH Y PWYLLGOR LLYWODRAETHU CORFFORAETHOL

Cyflwynwyd Blaenraglen Waith y Pwyllgor Llywodraethu Corfforaethol (a gylchredwyd yn flaenorol) i'w hystyried.

Cadarnhaodd y Pwyllgor Flaenraglen Waith y Pwyllgor Llywodraethu Corfforaethol yn amodol ar gynnwys yr adroddiadau canlynol:-

29^{ain} Ionawr, 2013:-

- Hamdden Clwyd (eitem Rhan II).
- Strategaeth Rheoli Gwybodaeth – Blaenraglen Waith.

PENDERFYNWYD – *bod y Pwyllgor, yn amodol ar yr uchod, yn cymeradwyo'r Flaenraglen Waith.*

Daeth y cyfarfod i ben am 12.55 p.m.

Mae tudalen hwn yn fwriadol wag

Adroddiad i'r:	Pwyllgor Llywodraethu Corfforaethol
Dyddiad y Cyfarfod:	29 Ionawr 2014
Aelod/Swyddog Arweiniol:	Cyng. Julian Thompson-Hill
Awdur yr Adroddiad:	Pennaeth Cyllid ac Asedau
Teitl:	1. Datganiad Strategaeth Rheoli'r Trysorlys (DSRhT) 2014/15 a Dangosyddion Darbodus 2014/15 to 2016/17 (Atodiad 1) 2. Adroddiad Rheoli Trysorlys - Diweddariad 2013/14 (Atodiad 2)

1 Am beth mae'r adroddiad yn sôn?

- 1.1 Mae'r DSRhT (Atodiad 1) yn dangos sut y bydd y Cyngor yn rheoli ei fuddsoddiadau a'i fenthyciadau ar gyfer y flwyddyn i ddod ac yn sefydlu'r polisiau y mae'r swyddogaeth RhT yn gweithredu o fewn iddynt. Mae'r adroddiad hefyd yn amlinellu effaith debygol y Cynllun Corfforaethol ar y strategaeth hon ac ar y Dangosyddion Darbodus. Roedd Adroddiad Diweddariad RhT (Atodiad 2), yn manylu ar weithgarwch RhT y Cyngor yn ystod 2013/14.
- 1.2 Dylid nodi bod y ffigurau a gynhwysir yn y DSRhT yn rai drafft a byddant yn cael eu diweddarau cyn eu cymeradwyo gan y Cyngor yn seiliedig ar y Cynllun Cyfalaf diweddaraf ym mis Chwefror 2014.

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

- 2.1 Mae Cod Ymarfer Sefydliad Siartredig Cyllid Cyhoeddus a Chyfrifyddiaeth ar Reoli Trysorlys ("Cod RhT CIPFA") yn gofyn i'r Cyngor gymeradwyo'r DSRhT a'r Dangosyddion Darbodus yn flynyddol. Mae'n ofynnol i'r Pwyllgor Llywodraethu Corfforaethol adolygu'r adroddiad hwn cyn iddo gael ei gymeradwyo gan y Cyngor ar 25 Chwefror 2014. Ar ben hynny, rhan o rôl y pwyllgor yw derbyn yr wybodaeth ddiweddaraf ar weithgareddau RhT ddwywaith y flwyddyn.

3 Beth yw'r Argymhellion?

- 3.1 Bod y Pwyllgor yn adolygu DSRhT ar gyfer 2014/15 a'r Dangosyddion Darbodus ar gyfer 2014/15, 2015/16 a 2016/17 (Atodiad 1).
- 3.2 Bod yr aelodau'n nodi'r adroddiad diweddarau RhT (Atodiad 2).

4 Manylion am yr Adroddiad

Cefndir

- 4.1 Mae RhT yn golygu edrych ar ôl arian y Cyngor sy'n rhan hanfodol o waith y Cyngor oherwydd bod oddeutu £0.5bn yn mynd drwy gyfrif banc y Cyngor bob blwyddyn.
- 4.2 Ar unrhyw un adeg, mae gan y Cyngor o leiaf £20m mewn arian parod, felly mae angen i ni wneud yn siŵr ein bod yn cyflawni'r gyfradd ddychwelyd orau posibl heb beryglu'r arian, a dyna pam yr ydym yn buddsoddi arian gyda nifer o sefydliadau ariannol.

Wrth fuddsoddi, blaenoriaethau'r Cyngor yw:

- cadw arian yn ddiogel (diogelwch);
- gwneud yn siŵr ein bod yn cael yr arian yn ôl pan fyddwn ei angen (hylifedd);
- gwneud yn siŵr ein bod yn cael cyfradd gweddus o ddychwelyd (cynnyrch).

DSRhT 2014/15

- 4.3 Mae'r DSRhT ar gyfer 2014/15 wedi'i nodi yn Atodiad 1. Mae'r adroddiad hwn yn cynnwys Dangosyddion Darbodus sy'n gosod cyfyngiadau ar weithgaredd RhT y Cyngor ac yn dangos bod benthyca'r Cyngor yn fforddiadwy.

Dangosyddion Darbodus:

- 4.4 Mae dangosyddion Cronfa'r Cyngor yn seiliedig ar y bidiau cyfalaf arfaethedig diweddaraf a dyraniadau bloc a bydd y rhain yn cael eu diweddarau cyn i'r adroddiad gael ei gyflwyno i'r Cyngor i'w gymeradwyo ar 25 Chwefror 2014.
- 4.5 Mae'r dangosyddion Cyfrif Refeniw Tai wedi cael eu cyfrifo yn seiliedig ar yr amcangyfrifon diweddaraf o'r Cynllun Busnes Stoc Tai. Bydd y rhain yn cael eu diweddarau yn unol â'r gyllideb a gymeradwywyd gan y Cabinet yn ei gyfarfod ar 18 Chwefror, 2014.
- 4.6 Mae'r Dangosyddion Darbodus unigol a argymhellwyd i'w cymeradwyo wedi'u nodi yn Atodiad A.

Adroddiad Diweddarau RhT 2013/14

- 4.7 Mae'r adroddiad diweddariad RhT (Atodiad 2) yn rhoi manylion y canlynol:-
- Amgylchedd economaidd allanol.
 - Risgiau
 - Gweithgaredd
 - Rheolaethau
 - Gweithgarwch yn y dyfodol.

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

- 5.1 Mae strategaeth RhT effeithlon yn galluogi'r Cyngor i leihau ei gostau benthyca a rhyddhau cyllid ar gyfer ei flaenoriaethau buddsoddi.

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

- 6.1 Nid oes unrhyw oblygiadau cost yn codi o ganlyniad i bennu Dangosyddion Darbodus. Pwynt y Strategaeth RhT yw cael yr elw gorau o fewn fframwaith risg wedi'i rheoli'n briodol.

7 Beth yw prif gasgliadau'r Asesiad o Effaith ar Gydraddoldeb a gwblhawyd ar gyfer y penderfyniad?

- 7.1 Nid yw hyn yn ofynnol fel rhan o'r adroddiad hwn.

8 Pa ymgynghoriadau sydd wedi eu cynnal?

- 8.1 Mae Cynllun Cyfalaf y Cyngor a'r Gyllideb Refeniw wedi eu paratoi mewn ymgynghoriad â Phenaethiaid Gwasanaeth, Cyfarwyddwyr Corfforaethol, Pwyllgorau Archwilio, y Cabinet a'r Cyngor.

- 8.2 Bydd y Cynllun Busnes Stoc Tai, cyllidebau cyfalaf a refeniw a cael eu cyflwyno i aelodau. Bydd Ffederasiwn Tenantiaid a Phreswylwyr Sir Ddinbych hefyd yn cael eu hymgyngori ar y cynigion.

- 8.3 Mae'r Cyngor wedi ymgynghori â'i ymgynghorwyr RhT, Arlingclose Ltd

9 Datganiad y Prif Swyddog Cyllid

- 9.1 Mae a wnelo Rheoli Trysorlys ag edrych ar ôl symiau sylweddol o arian parod, felly mae'n rhan hanfodol o waith y Cyngor. Mae'n gofyn am strategaeth gadarn a rheolaethau priodol i ddiogelu arian y Cyngor, i sicrhau ein bod yn derbyn adenillion ar fuddsoddiad ac ein bod yn rheoli dyled yn effeithiol ac yn ddoeth.

- 9.2 Mabwysiadodd Cyngor God Ymarfer diwygiedig CIPFA ar RhT (11 Tachwedd) yn ei gyfarfod ar 28 Chwefror 2012. Mae'n ofyniad yn y Cod hwnnw i'r Cyngor gymeradwyo DSRhT pob blwyddyn ariannol.

- 9.3 Mae'r Cyngor wedi cymeradwyo Cynllun Corfforaethol uchelgeisiol a allai weld £134m yn cael ei fuddsoddi mewn cyflawni ei flaenoriaethau dros y pum mlynedd nesaf. Mae'n hanfodol bod gan y Cyngor swyddogaeth RhT cadarn ac effeithiol sy'n sail i'r buddsoddiad hwn a'r holl weithgareddau eraill.

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

- 10.1 Mae RhT yn ei hanfod yn beryglus fel yr amlinellwyd yn y Datganiad Strategaeth. Mae gan y Cyngor bolisi rheoli risg ond mae'n amhosib dileu'r risgiau hyn yn gyfan gwbl.

11 Pŵer i wneud y Penderfyniad

- 11.1 Mae Deddf Llywodraeth Leol 2003 yn pennu'r gofyniad i awdurdodau lleol bennu Dangosyddion Darbodus a'i gwneud yn ofynnol i'r Cyngor gydymffurfio â Chod Darbodus Cyllid Cyfalaf ar Gyfer Awdurdodau Lleol sydd wedi cael ei gynhyrchu gan Sefydliad Siartredig Cyllid Cyhoeddus a Chyfrifyddiaeth (CIPFA).

Denbighshire County Council

**Treasury Management Strategy Statement
and Investment Strategy 2014/15 to 2016/17**

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- 1. Background**
- 2. Treasury Position**
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Annexes

- A. Prudential Indicators**
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Glossary

Treasury Management Strategy Statement and Investment Strategy 2014/15 to 2016/17

1 Background

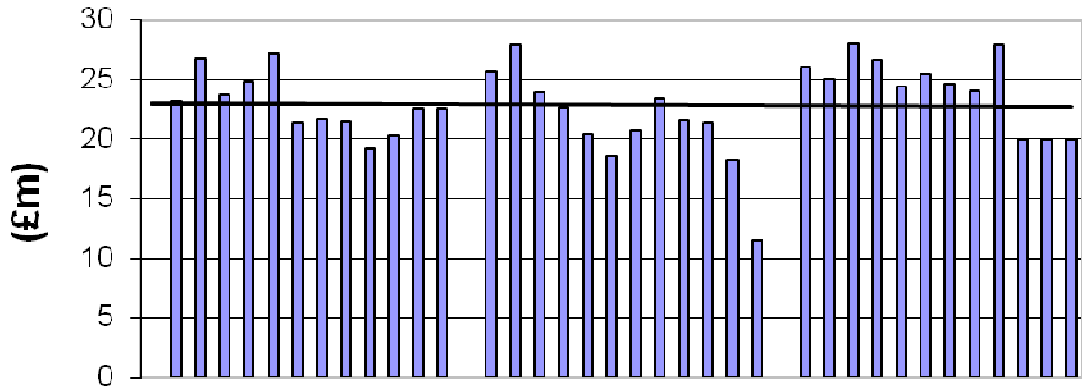
- 1.1 The Council is responsible for its Treasury Management decisions and activity which involves looking after the Council's cash. This is a vital part of the Council's work because approximately £0.5bn passes through the Council's bank account every year.
- 1.2 On 28 February 2012 the Authority adopted the Chartered Institute of Public Finance and Accountancy's *Treasury Management in the Public Services: Code of Practice 2011 Edition* (the CIPFA Code) which requires the Authority to approve a treasury management strategy statement (TMSS) before the start of each financial year.
- 1.3 In addition, the Welsh Government (WG) issued revised *Guidance on Local Authority Investments* in April 2010 that requires the Authority to approve an investment strategy before the start of each financial year.
- 1.4 This report fulfils the Authority's legal obligation under the *Local Government Act 2003* to have regard to both the CIPFA Code and the WG Guidance.
- 1.5 The purpose of the TMSS is to set the:
 - Treasury Management Strategy for 2014/15
 - Annual Investment Strategy for 2014/15
 - Prudential Indicators for 2014/15, 2015/16 and 2016/17 (**Annex A**)
 - Minimum Revenue Provision (MRP) Statement

2 Treasury Position

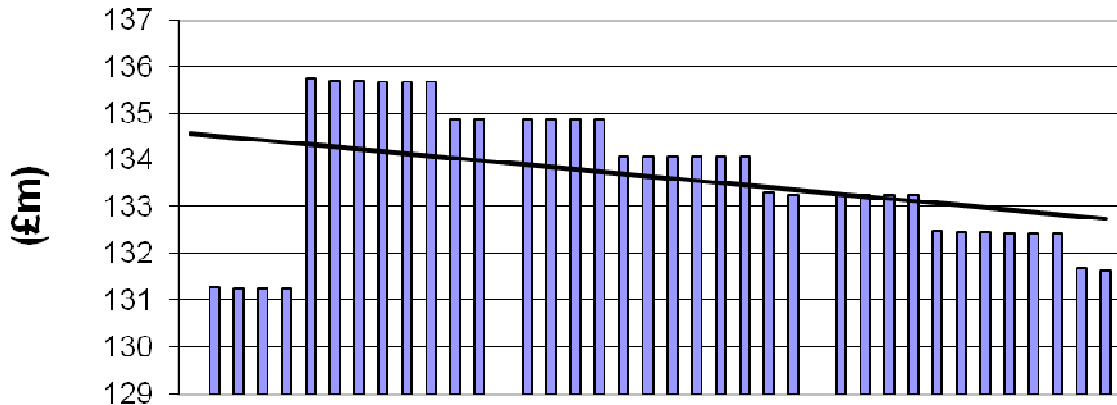
- 2.1 The levels of the Council's investment and borrowing balances over the last three years are shown in the graphs below. The first chart shows that the amount of money we have to invest has remained fairly constant over the last three years. The second shows the Council's borrowing has decreased over the course of the last three years as we have relied on internal borrowing as much as possible instead of undertaking external borrowing from the Public Works Loan Board (PWLb).

**Treasury Management Strategy Statement
and Investment Strategy 2014/15 to 2016/17**

Investment Balances (2011/12 - 2013/14)



Borrowing Balances (2011/12 - 2013/14)



3 Investment Strategy

- 3.1 Both the CIPFA Code and the WG Guidance require the Authority to invest its funds prudently, and to have regard to the security and liquidity of its investments before seeking the highest rate of return, or yield. The Authority’s objective when investing money is to strike an appropriate balance between risk and return, minimising the risk of incurring losses from defaults and the risk of receiving unsuitably low investment income.
- 3.2 The Authority may invest its surplus funds with any of the counterparties in table 1 below, subject to the cash and time limits shown.

**Treasury Management Strategy Statement
and Investment Strategy 2014/15 to 2016/17**

Table 1: Approved Investment Counterparties

Counterparty	Cash limit	Time limit
Banks and other organisations whose lowest published long-term credit rating from Fitch, Moody's and Standard & Poor's is:	AAA	10 years
	AA+	5 years
	AA	4 years
	AA-	3 years
	A+	2 years
	A	1 year
	A-	
The Authority's current account bank (Natwest Bank Plc) if it fails to meet the above criteria	£4m	next day
UK Central Government (irrespective of credit rating)	unlimited	50 years
UK Local Authorities (irrespective of credit rating)	£8m each	10 years
UK Registered Providers of Social Housing whose lowest published long-term credit rating is A- or higher	£5m each	10 years
UK Registered Providers of Social Housing whose lowest published long-term credit rating is BBB- or higher and those without credit ratings	£5m each	5 years
UK Building Societies without credit ratings	£1m each	1 year
Money market funds and other pooled funds	£3m each	n/a
Any other organisation, subject to an external credit assessment and specific advice from the Authority's treasury management adviser	£1m each	1 year

- 3.3 This strategy aims to diversify our investments across a larger number of financial institutions which will reduce our current reliance on a limited number of UK banks. This action is being taken because of a lower likelihood that the UK and other governments will support failing banks in the future. As the Banking Reform Act 2014 is implemented, banks will no longer be able to rely on bail-outs and they will be expected to stand on their own feet. This increases the risk to large investors such as local authorities who may be required to provide a proportion of the amount required to cover the bank's losses in the event of default. This new risk has been termed 'bail-in' risk and is potentially a greater risk to investors than the 'bail-out' risk of the past.
- 3.4 Consequently, for a group of banks under the same ownership, the banking group limit will now be equal to the individual bank limit. This is a reduction in our previous limit which was set at 1.5 times the individual bank limit.
- 3.5 As a result of an improvement in the housing market and a strengthening of building societies' balance sheets, the 2014/15 strategy will add a number of building societies to our investment list which will help us to spread our investments over a larger number of financial institutions. This will include

Treasury Management Strategy Statement and Investment Strategy 2014/15 to 2016/17

building societies without credit ratings where an external credit assessment by our treasury advisers, Arlingclose Ltd, shows them to be suitably creditworthy.

- 3.6 The Authority's current account is held with Natwest Bank Plc which is currently rated at the minimum A- rating in table 1. Should the credit rating fall below A-, the Authority may continue to deposit surplus cash with Natwest Bank Plc providing that investments can be withdrawn on the next working day, and that the bank maintains a credit rating no lower than BBB- (the lowest investment grade rating).
- 3.7 The Authority uses long-term credit ratings from the three main rating agencies Fitch Ratings, Moody's Investors Service and Standard & Poor's Financial Services to assess the risk of investment default. The lowest available counterparty credit rating will be used to determine credit quality, unless an investment-specific rating is available. Credit ratings are obtained and monitored by the Authority's treasury advisers, who will notify changes in ratings as they occur. Where an entity has its credit rating downgraded so that it fails to meet the approved investment criteria then:
- no new investments will be made,
 - any existing investments that can be recalled or sold at no cost will be, and
 - full consideration will be given to the recall or sale of all other existing investments with the affected counterparty.
- 3.8 The Authority understands that credit ratings are good, but not perfect, predictors of investment default. Full regard will therefore be given to other available information on the credit quality of the organisations in which it invests, including credit default swap prices (the cost of banks insuring themselves against default), financial statements, information on potential government support and reports in the quality financial press. No investments will be made with an organisation if there are substantive doubts about its credit quality, even though it may meet the credit rating criteria.
- 3.9 When deteriorating financial market conditions affect the creditworthiness of all organisations, as happened in 2008 and 2011, this is not generally reflected in credit ratings, but can be seen in other market measures. In these circumstances, the Authority will restrict its investments to those organisations of higher credit quality and reduce the maximum duration of its investments to maintain the required level of security. The extent of these restrictions will be in line with prevailing financial market conditions. If these restrictions mean that insufficient commercial organisations of high credit quality are available to invest the Authority's cash balances, then the surplus will be deposited with the UK Government, via the Debt Management Office for example, or with other local authorities. This will

Treasury Management Strategy Statement and Investment Strategy 2014/15 to 2016/17

cause a reduction in the level of investment income earned, but will protect the principal sum invested.

The reduction in investment income which the Council has suffered over the last five years is illustrated in Table 2 below:

Table 2: Investment Income

2008/09 Interest £000	2009/10 Interest £000	2010/11 Interest £000	2011/12 Interest £000	2012/13 Interest £000
2,219	635	239	408	398

3.10 **Specified Investments:** The WG Guidance defines specified investments as those:

- denominated in pound sterling,
- due to be repaid within 12 months of arrangement,
- not defined as capital expenditure by legislation, and
- invested with one of:
 - the UK Government,
 - a UK local authority, parish council or community council, or
 - a body or investment scheme of “high credit quality”.

The Authority defines “high credit quality” organisations as those having a credit rating of A- or higher that are domiciled in the UK or a foreign country with a sovereign rating of AA+ or higher.

3.11 **Non-specified Investments:** Any investment not meeting the definition of a specified investment is classed as non-specified. The Authority does not intend to make any investments denominated in foreign currencies. Non-specified investments will therefore be limited to long-term investments, i.e. those that are due to mature 12 months or longer from the date of arrangement; those that are defined as capital expenditure by legislation, such as shares in money market funds and other pooled funds; and investments with bodies and schemes not meeting the definition of high credit quality. Limits on non-specified investments are shown in table 3 below.

**Treasury Management Strategy Statement
and Investment Strategy 2014/15 to 2016/17**

Table 3: Non-Specified Investment Limits

	Cash limit
Total long-term investments	£10m
Total shares in money market funds	£10m
Total shares in other pooled funds	£10m
Total investments without credit ratings or rated below A-	£10m
Total investments in foreign countries rated below AA+	£10m
Total non-specified investments	£20m

3.12 **Approved Instruments:** The Authority may lend or invest money using any of the following instruments:

- interest-bearing bank accounts,
- fixed term deposits and loans,
- callable deposits where the Authority may demand repayment at any time (with or without notice),
- callable loans where the borrower may demand repayment at any time,
- certificates of deposit,
- bonds, notes, bills, commercial paper and other marketable instruments, and
- shares in money market funds and other pooled funds.

Investments may be made at either a fixed rate of interest, or at a variable rate linked to a market interest rate, such as LIBOR, subject to the limits on interest rate exposures below.

4 Borrowing Strategy

4.1 Borrowing strategies continue to be influenced by the relationship between investment and borrowing rates. The interest rate forecast provided in **Annex B** indicates that an acute difference between investment and borrowing rates is expected to continue. This difference creates a “cost of carry” for any new longer term borrowing where the proceeds are temporarily held as investments because of the difference between what is paid on the borrowing and what is earned on the investment.

4.2 In view of this, the strategy which has been in place for some time now has been to reduce our investment balances and rely on internal borrowing as much as possible instead of external borrowing from the Public Works Loan Board (PWLB). This has been sustainable because the level of the Council’s balances and reserves has been sufficient to avoid the need for external borrowing.

Treasury Management Strategy Statement and Investment Strategy 2014/15 to 2016/17

- 4.3 However, as the Corporate Plan is now progressing, we intend to review this strategy and begin to undertake new borrowing. Borrowing rates are also expected to rise so the intention is to borrow to take advantage of the lower rates which are available currently. Although this will create a cost of carry in the short term while the proceeds are temporarily held as investments, we will save in the long term because of the anticipated increase in borrowing rates which will result in higher interest costs if we delay.
- 4.4 While the Council can borrow from a number of banks, it normally only borrows from the Public Works Loan Board (PWLB) which is a Government body that lends to public sector organisations.

The approved sources of borrowing are listed below:

- PWLB
- UK local authorities
- any institution approved for investments
- any other bank or building society authorised by the Prudential Regulation Authority to operate in the UK
- UK public and private sector pension funds
- capital market bond investors
- special purpose companies created to enable joint local authority bond issues.

5 Debt Rescheduling

- 5.1 The Council is able to pay off loans earlier than we have to and to replace them with cheaper loans in order to save money or to reduce the risk to the Council. Sometimes, we will replace these loans and sometimes not, depending on market conditions and interest rates.
- 5.2 The lower interest rate environment and changes in the rules regarding the premature repayment of PWLB loans has adversely affected the scope to undertake meaningful debt rescheduling although occasional opportunities arise.

6 Minimum Revenue Provision (MRP) Statement

- 6.1 The Council sets aside money each year to repay debt and this is known as the Minimum Revenue Provision (MRP). In 2014/15, this will be £8.2m.
- 6.2 There are four different methods of calculating MRP and the Council needs to say each year which methods it will use. This is known as the MRP Statement.

Treasury Management Strategy Statement and Investment Strategy 2014/15 to 2016/17

- 6.3 The MRP Statement will be submitted to Council before the start of the 2014/15 financial year. If it is ever proposed to vary the terms of the original MRP Statement during the year, a revised statement will be put to Council at that time.

6.4 MRP Statement

The Council will apply the Regulatory Method for supported capital expenditure which means that MRP is charged at 4% of the Council's Capital Financing Requirement.

The Council will apply the Asset Life Method for unsupported capital expenditure which means that MRP is determined by the life of the asset for which the borrowing is undertaken.

The different methods of calculation will affect how much money the Council sets aside for debt repayment. The above statement means that where the Welsh Government gives us the money to repay debt we will repay it at 4% of whatever is outstanding. Where we borrow through Prudential Borrowing we will charge an amount that lets us repay the debt over the expected life of the asset.

- 6.5 Adopting International Financial Reporting Standards (IFRS) has resulted in leases and Private Finance Initiative (PFI) schemes coming on the balance sheet. This affects how much it appears the Council has borrowed but this is effectively covered by grant payments. MRP in respect of leases and PFI schemes brought on the balance sheet under IFRS will match the annual principal repayment for the associated deferred liability. This is a technical accounting adjustment which is cost neutral for the Council.
- 6.6 MRP on Housing assets is made in accordance with statutory requirements (the General Determination of the Item 8 Credit and Item 8 Debit).

7 Reporting Treasury Management Activity

The Section 151 Officer (Head of Finance & Assets) will report to the Corporate Governance Committee on treasury management activity / performance as follows:

- (a) The Treasury Management Strategy Statement and Prudential Indicators will be submitted to the committee in January each year prior to approval by Council.
- (b) Two treasury management updates will be submitted to the committee in January and September each year.
- (c) An annual report on treasury activity will be submitted to the committee in September each year for the preceding year prior to approval by Cabinet.

A treasury update will also be included in the monthly Revenue Monitoring report and borrowing will be reported on in the Capital Plan to Council.

Treasury Management Strategy Statement and Investment Strategy 2014/15 to 2016/17

8 Other items

8.1 Member Training

The CIPFA Code of Practice on Treasury Management requires the Section 151 Officer to ensure that all members tasked with treasury management responsibilities, including scrutiny of the treasury management function, receive appropriate training relevant to their needs and understand fully their roles and responsibilities.

The Council has nominated the Corporate Governance Committee as the committee which has responsibility for scrutiny of the treasury management function. Annual training requirements will be agreed with the Corporate Governance Committee.

8.2 Treasury Management Consultants

The Council uses Arlingclose Ltd as Treasury Management Consultants and receives the following services:

- Credit advice
- Investment advice
- Borrowing advice
- Technical accounting advice
- Economic & interest rate forecasts
- Workshops and training events

The Council maintains the quality of the service with its advisors by holding quarterly strategy meetings and tendering every 5 years. Following a recent tendering exercise, the contract was renewed with Arlingclose from 01 January 2014 for three years with an option to extend for a further two year period.

8.3 Housing Revenue Account Subsidy Reform

The Welsh Government is in negotiations with HM Treasury regarding the reform of the HRA subsidy system in Wales. Details of the precise mechanism & timing are not available at this stage. The authority will monitor developments in this area as further details become available. It is likely the changes will be implemented from 2015/16.

8.4 Policy on Use of Financial Derivatives

In the absence of any legal power to do so, the Authority will not use standalone financial derivatives (such as swaps, forwards, futures and options). Derivatives embedded into loans and investments may be used, and the risks that they present will be managed in line with the overall treasury risk management strategy.

**Treasury Management Strategy Statement
and Investment Strategy 2014/15 to 2016/17**

ANNEX A

PRUDENTIAL INDICATORS 2014/15 TO 2016/17

1 Background

The indicators are calculated to demonstrate that the Council's borrowing is affordable and are underpinned by the following regulations. There is a requirement under the Local Government Act 2003 for local authorities to have regard to CIPFA's Prudential Code for Capital Finance in Local Authorities (the "CIPFA Prudential Code") when setting and reviewing their Prudential Indicators.

2 Gross Debt and the Capital Financing Requirement

This is a key indicator of prudence. In order to ensure that over the medium term debt will only be for a capital purpose, the Council should ensure that debt does not, except in the short term, exceed the total of the capital financing requirement in the preceding year plus the estimates of any additional increases to the capital financing requirement for the current and next two financial years.

The Section 151 Officer reports that the Council had no difficulty meeting this requirement in 2013/14 to date nor are there any difficulties envisaged in future years. This view takes into account current commitments, existing plans and the proposals in the approved budget.

3 Estimates of Capital Expenditure

3.1 This indicator is set to ensure that the level of proposed capital expenditure remains within sustainable limits and, in particular, to consider the impact on Council Tax and in the case of the HRA, housing rent levels.

Capital Expenditure	2013/14 Approved £000	2013/14 Revised £000	2014/15 Estimate £000	2015/16 Estimate £000	2016/17 Estimate £000
Council Fund	29,727	34,151	10,615	5,027	4,571
Corporate Plan – Approved		6,626	2,790		
Corporate Plan – Proposed	6,603		11,649	34,083	29,102
HRA	9,182	8,534	5,028	5,179	5,335
Total	45,512	49,311	30,082	44,289	39,008

The Corporate Plan has been divided in the table above between those elements which have been approved and those which are proposed at this stage. The indicators below incorporate both elements of the Corporate Plan.

Treasury Management Strategy Statement and Investment Strategy 2014/15 to 2016/17

3.2 Capital expenditure will be financed as follows:

Capital Financing	2013/14 Approved £000	2013/14 Revised £000	2014/15 Estimate £000	2015/16 Estimate £000	2016/17 Estimate £000
Council Fund					
Capital Receipts	1,738	1,436			
Grants & Contributions	14,016	19,960	4,687	1,868	1,841
Revenue Contributions & Reserves	1,009	675	664		
Supported Borrowing	6,846	5,645	4,253	2,909	2,730
Prudential Borrowing	6,118	6,435	1,011	250	
	29,727	34,151	10,615	5,027	4,571
Corporate Plan					
Capital Receipts		400			588
Grants & Contributions	990	1,200	2,834	12,252	6,207
Revenue Contributions & Reserves	2,505	700	2,520	7,245	4,844
Supported Borrowing	1,458	218	100		
Prudential Borrowing	1,650	4,108	8,985	14,586	17,463
	6,603	6,626	14,439	34,083	29,102
Total	36,330	40,777	25,054	39,110	33,673
HRA					
Capital Receipts	18	28	19	20	21
Grants & Contributions	2,400	2,400	2,400	2,400	2,400
Revenue Contributions & Reserves	1,024	890	543	871	1,354
Supported Borrowing					
Prudential Borrowing	5,740	5,216	2,066	1,888	1,560
Total	9,182	8,534	5,028	5,179	5,335

4 Ratio of Financing Costs to Net Revenue Stream

4.1 This is an indicator of affordability and highlights the revenue implications of existing and proposed capital expenditure by identifying the proportion of the revenue budget required to meet borrowing costs. It shows how much of its budget the Council uses to repay debt and interest.

Treasury Management Strategy Statement and Investment Strategy 2014/15 to 2016/17

4.2 The ratio is based on costs net of investment income.

Ratio of Financing Costs to Net Revenue Stream	2013/14 Approved £000	2013/14 Revised £000	2014/15 Estimate £000	2015/16 Estimate £000	2016/17 Estimate £000
Financing Costs	12,168	12,502	12,796	13,249	13,725
Net Revenue Stream	190,687	191,573	187,683	185,882	185,882
Council Fund Ratio	6.38%	6.53%	6.82%	7.13%	7.38%
Financing Costs	3,092	3,143	3,497	3,599	3,675
Net Revenue Stream	12,662	12,727	12,965	13,624	14,309
HRA Ratio	24.42%	24.70%	26.97%	26.42%	25.68%

5 Capital Financing Requirement

5.1 The Capital Plan relies on various sources of finance i.e. grants, contributions and capital receipts. Once these are used up, we need to rely on borrowing and the Capital Financing Requirement (CFR) is the amount we need to borrow. Our borrowing shouldn't therefore go above the CFR. The Council's CFR and borrowing levels are compared in the table below for the current and future years.

Capital Financing Requirement	31/03/14 Approved £000	31/03/14 Revised £000	31/03/15 Estimate £000	31/03/16 Estimate £000	31/03/17 Estimate £000
Council Fund	150,707	149,373	156,639	167,010	179,415
HRA	33,375	31,816	32,059	32,024	31,570
PFI	10,526	10,526	10,437	10,058	9,627
Total CFR	194,608	191,715	199,135	209,092	220,612
Total Debt	153,460	141,648	151,972	168,951	187,261

Note that the projected debt level at 31/03/14 was originally estimated in February 2013 to be £12m higher than the revised estimate because the original estimate was based on the capital expenditure in the Capital Plan to be funded by borrowing for 2013/14. In practice, the Council has been internally borrowing as discussed earlier in the report and has not undertaken any external borrowing yet this year.

6 Incremental Impact of Capital Investment Decisions

6.1 This indicator shows how much of the Council Tax income is spent on paying debt interest.

Treasury Management Strategy Statement and Investment Strategy 2014/15 to 2016/17

Incremental Impact of Capital Investment Decisions	2013/14 Approved £	2014/15 Estimate £	2015/16 Estimate £	2016/17 Estimate £
Increase in Band D Council Tax due to:				
Prudential Borrowing	5.35	2.84	2.63	2.63
Capital Receipts	0.69	0.00	0.00	0.00
Reserves	0.40	0.74	0.00	0.00
Total	6.44	3.58	2.63	2.63
Average Weekly Housing Rents	1.67	1.01	0.95	0.95

This indicator shows the equivalent impact on Council Tax of the decision to undertake Prudential Borrowing as well as the investment interest lost by using capital receipts and reserves to part fund the Capital Plan. The impact of supported borrowing has not been included because it is assumed that the Council would always spend its supported borrowing to fund its Capital Plan.

The increases in council house rents reflect the additional costs of financing the borrowing to be undertaken each year as part of the Housing Stock Business Plan with the aim to attain the Welsh Housing Quality Standard during 2014. The indicator illustrates the impact of each year's capital expenditure and new borrowing on weekly rents.

7 **Authorised Limit & Operational Boundary for External Debt**

- 7.1 The Council has an integrated treasury management strategy and manages its treasury position in accordance with its approved strategy and practice. Overall borrowing will therefore arise as a consequence of all the financial transactions of the Council and not just those arising from capital spending reflected in the CFR.
- 7.2 The **Authorised Limit** sets the maximum level of external borrowing. It is measured on a daily basis against all external borrowing items on the Balance Sheet i.e. long and short term borrowing, overdrawn bank balances and long term liabilities. This Prudential Indicator separately identifies borrowing from other long term liabilities such as finance leases. It is consistent with the Council's existing commitments, its proposals for capital expenditure and financing and its approved treasury management policy statement and practices. This is reported as a part of the Capital Monitoring Report.
- 7.3 The Authorised Limit has been set on the estimate of the most likely, prudent but not worst case scenario with sufficient headroom over and above this to allow for unusual cash movements.
- 7.4 The Authorised Limit is the statutory limit determined under Section 3(1) of the Local Government Act 2003 (referred to in the legislation as the

Treasury Management Strategy Statement and Investment Strategy 2014/15 to 2016/17

Affordable Limit) and if it is breached, it would be reported to the next Council meeting.

Authorised Limit for External Debt	2013/14 Approved £000	2013/14 Revised £000	2014/15 Estimate £000	2015/16 Estimate £000	2016/17 Estimate £000
Borrowing	175,000	165,000	170,000	180,000	200,000

- 7.5 The **Operational Boundary** links directly to the Council's estimates of the CFR and estimates of other cash flow requirements. This indicator is based on the same estimates as the Authorised Limit reflecting the most likely, prudent but not worst case scenario but without the additional headroom included within the Authorised Limit.

Operational Boundary for External Debt	2013/14 Approved £000	2013/14 Revised £000	2014/15 Estimate £000	2015/16 Estimate £000	2016/17 Estimate £000
Borrowing	170,000	160,000	165,000	175,000	195,000

8 Adoption of the CIPFA Treasury Management Code

- 8.1 This indicator demonstrates that the Council has adopted the principles of best practice. The Council adopted the original Code in March 2002. A revised Code was issued in November 2009 and another in November 2011. One of the recommendations is that the Code is adopted by Council.

Adoption of the CIPFA Code of Practice in Treasury Management
The Council approved the adoption of the revised CIPFA Treasury Management Code (Nov 2011) at its meeting on 28 February 2012.

9 Upper Limits for Fixed Interest Rate Exposure and Variable Interest Rate Exposure

- 9.1 These indicators allow the Council to manage the extent to which it is exposed to changes in interest rates. This Council calculates these limits on a net interest paid basis (i.e. interest paid on fixed rate debt net of interest received on fixed rate investments).
- 9.2 The upper limit for variable rate exposure has been set to ensure that the Council is not exposed to interest rate rises which could adversely impact on the revenue budget. The limit allows for the use of variable rate debt to offset exposure to changes in short-term rates on investments.

**Treasury Management Strategy Statement
and Investment Strategy 2014/15 to 2016/17**

	2013/14 Approved %	2014/15 Estimate %	2015/16 Estimate %	2016/17 Estimate %
Upper Limit for Fixed Interest Rate Exposure	100	100	100	100
Upper Limit for Variable Rate Exposure	40	40	40	40

9.3 The limits above provide the necessary flexibility within which decisions will be made for drawing down new loans on a fixed or variable rate basis; the decisions will ultimately be determined by expectations of anticipated interest rate movements as set out in the Council's treasury management strategy.

10 Maturity Structure of Fixed Rate borrowing

10.1 This indicator highlights the existence of any large concentrations of fixed rate debt needing to be replaced at times of uncertainty over interest rates and is designed to protect against excessive exposures to interest rate changes in any one period, in particular in the course of the next ten years.

10.2 It is calculated as the amount of projected borrowing that is fixed rate maturing in each period as a percentage of total projected borrowing that is fixed rate. The maturity of borrowing is determined by reference to the earliest date on which the lender can require payment.

Maturity structure of fixed rate borrowing	Actual %	Lower Limit %	Upper Limit %
under 12 months	3.86	0	10
12 months and within 24 months	1.68	0	10
24 months and within 5 years	5.31	0	20
5 years and within 10 years	6.24	0	25
10 years and above	82.91	50	100

11 Credit Risk

11.1 The Council considers security, liquidity and yield, in that order, when making investment decisions.

11.2 Credit ratings remain an important element of assessing credit risk, but they are not a sole feature in the Council's assessment of counterparty credit risk.

11.3 The Council also considers alternative assessments of credit strength, and information on corporate developments of and market sentiment towards counterparties. The following key tools are used to assess credit risk:

**Treasury Management Strategy Statement
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- Published credit ratings of the financial institution (minimum A- or equivalent) and its sovereign (minimum AA+ or equivalent for non-UK sovereigns);
- Sovereign support mechanisms;
- Credit default swaps (where quoted);
- Share prices (where available);
- Economic fundamentals, such as a country's net debt as a percentage of its GDP);
- Corporate developments, news, articles, markets sentiment and momentum;
- Subjective overlay.

11.4 The only indicators with prescriptive values are credit ratings. Other indicators of creditworthiness are considered in relative rather than absolute terms.

12 Upper Limit for total principal sums invested over 364 days

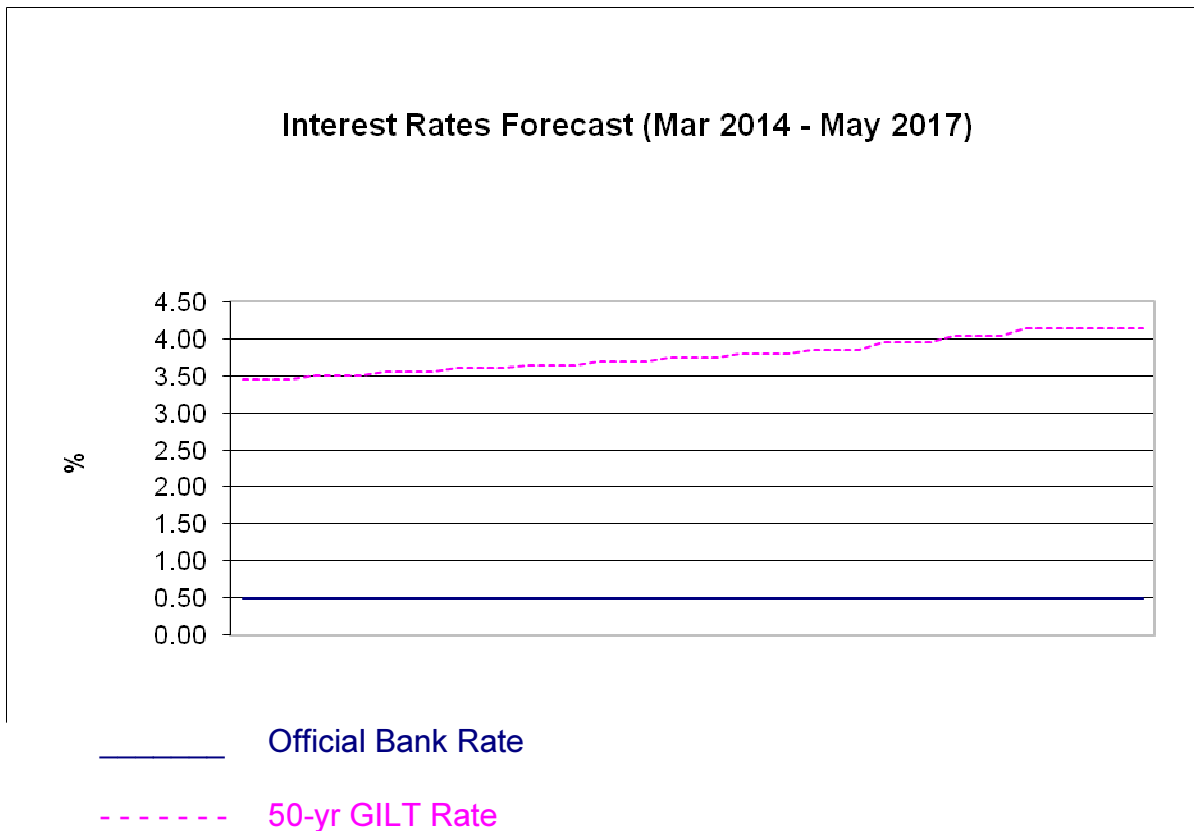
12.1 The purpose of this limit is to contain exposure to the possibility of loss that may arise as a result of the Council having to seek early repayment of the sums invested.

Upper Limit for total principal sums invested over 364 days	2013/14 Approved £m	2014/15 Estimate £m	2015/16 Estimate £m	2016/17 Estimate £m
	6.00	10.00	10.00	10.00

INTEREST RATES FORECAST

The graph below shows the interest rate forecast for the Official UK Bank Rate and the 50 year GILT rate from March 2014 to May 2017. The Official Bank Rate influences the rate at which the Council can invest. The GILT rate is the rate at which the Government borrows money and therefore this affects the rate at which we can borrow from the PWLB which is approximately 1% above GILT rates.

As the graph shows, it's much more expensive to borrow than to invest at the moment with the Official UK Bank Rate expected to remain at 0.5% for some time. The graph illustrates that the difference between investment and borrowing rates is approximately 3%. This means that the cost of carry referred to in paragraph 4.1 in **Appendix 1** is approximately £30,000 for every £1m borrowed because the Council could borrow for 50 years at a rate of approximately 4% but could only invest at a rate of approximately 1%.



Treasury Management Strategy Statement and Investment Strategy 2014/15 to 2016/17

GLOSSARY - Useful guide to Treasury Management Terms and Acronyms

Bank of England	UK's Central Bank
Bank Rate	Bank of England Interest Rate (also known as Base Rate)
CPI	Consumer Price Index – a measure of the increase in prices
RPI	Retail Price Index – a measure of the increase in prices
DMO	Debt Management Office – issuer of gilts on behalf of HM Treasury
FSA	Financial Services Authority - the UK financial watchdog
GDP	Gross Domestic Product – a measure of financial output of the UK
GILTS	Investments issued by UK Government which pay a fixed cash payment to the holder
LIBID	London Interbank Bid Rate - International rate that banks lend to other banks
LIBOR	London Interbank Offer Rate – International rate that banks borrow from other banks (the most widely used benchmark or reference for short term interest rates)
PWLB	Public Works Loan Board – a Government department that lends money to Public Sector Organisations
MPC	Monetary Policy Committee - the committee of the Bank of England that sets the Bank Rate
Long term rates	More than 12 months duration
Short term rates	Less than 12 months duration

Mae tudalen hwn yn fwriadol wag

Treasury Management (TM) Update Report

1 Changes in the external environment

1.1 Economic Outlook

The UK economy has shown continued signs of improvements over the course of 2013, with growth for the first three quarters totalling 2.1% and CPI inflation falling to the target level of 2%. The growth in the economy can largely be attributed to an increase in consumer confidence due to a rise in UK house prices and a falling unemployment rate. Despite strong growth, risks remain that this consumer led recovery will not take hold, as weak trading updates from high street retailers cast doubt on expectations of an economic boost from a strong Christmas season while industrial production / construction data suggested growth in these two sectors stalled in November.

The economic recovery is at a delicate stage so we will continue to be cautious in relation to our current investment strategy and this is likely to continue for the medium term until we see stronger signs of sustained economic growth.

2 Investment Strategy

2.1 Our current investment time limits with the banks which we invest with have remained the same since the last update as follows:

- Royal Bank of Scotland (RBS) and National Westminster Bank for a maximum period of **overnight**,
- Close Brothers for a maximum period of **100 days**,
- Lloyds TSB and Bank of Scotland for a maximum period of **6 months**;
- Nationwide BS and Barclays for a maximum period of **12 months**.

2.2 The Council has also been investing with the UK Government's Debt Management Office which is currently paying a rate of 0.25% and this option has been used when safe limits have been reached with financial institutions.

2.3 There are some changes proposed in the investment strategy for 2014/15 to diversify our investments across a larger number of financial institutions which will reduce our current reliance on a limited number of UK banks. This action is being taken because of a lower likelihood that

the UK and other governments will support failing banks in the future. As the Banking Reform Act 2014 is implemented, banks will no longer be able to rely on bail-outs and they will be expected to stand on their own feet. This increases the risk to large investors such as local authorities who may be required to provide a proportion of the amount required to cover the bank's losses in the event of default. This new risk has been termed 'bail-in' risk and is potentially a greater risk to investors than the 'bail-out' risk of the past.

2.4 These changes include a reduction in our banking group limit which is currently set at 1.5 times the individual bank limit for a group of banks under the same ownership. For example, we currently set our limit with the Lloyds banking group at £12m and our individual bank limit is £8m so we have £8m invested with Lloyds Bank and £4m with Bank of Scotland which is within the Lloyds banking group. The proposal in the new strategy is for the group limit to be set at the same level as the individual bank limit which would mean a reduction in our group limit from £12m to £8m. In our example above, we would have to reduce the amount invested with Lloyds Bank from £8m to £4m and we would also need to reduce the cash we have invested with the RBS banking group by £4m.

2.5 The impact of this is that this cash will need to be invested elsewhere and we have the following options for dealing with this:

- Other local authorities
- Building Societies (as discussed below)
- Money Market Funds

2.6 As a result of an improvement in the housing market and a strengthening of building societies' balance sheets, the 2014/15 strategy will add a number of building societies to our investment list which will help us to spread our investments over a larger number of financial institutions. This will include building societies without credit ratings where an external credit assessment by our treasury advisers, Arlingclose Ltd, shows them to be suitably creditworthy.

3 Borrowing Strategy

3.1 Borrowing strategies continue to be influenced by the relationship between investment and borrowing rates. Borrowing rates are considerably higher than investment rates at the moment and this difference creates a "cost of carry" for any new longer term borrowing where the proceeds are temporarily held as investments.

3.2 In view of this, the strategy which has been in place for some time now has been to reduce our investment balances and rely on internal borrowing as much as possible instead of external borrowing from the Public Works Loan Board (PWLB). This has been sustainable because

the level of the Council's balances and reserves has been sufficient to avoid the need for external borrowing.

- 3.3** However, as the Corporate Plan is now progressing, we intend to review this strategy and begin to undertake new borrowing. Borrowing rates are also expected to rise so the intention is to borrow to take advantage of the lower rates which are available currently. Although this will create a cost of carry while the proceeds are temporarily held as investments, we will save in the long term because of the anticipated increase in borrowing rates which will result in higher interest costs if we delay.

4 Controls

4.1 Prudential Indicators

The Council sets prudential indicators which set boundaries within which our treasury management activity operates. The indicators are calculated to demonstrate that the Council's borrowing is affordable and include measures that show the impact of capital and borrowing decisions over the medium term. The Council has remained within all of its borrowing and investment limits for 2013/14 agreed by Council in February 2013. The Council has not deviated from the Capital related indicators either.

4.2 Audit Reviews

Following a positive internal audit review in February 2013 which was reported on in the last update report, the next audit review will be undertaken in February 2014 and the recommendations will be reported in the next update.

5 Future

5.1 TM Strategy for next six months

As the Corporate Plan is now progressing, we intend to undertake new borrowing to take advantage of the lower rates which are available currently before the anticipated rise in rates. The Council will monitor market conditions and interest rate levels to ensure that external borrowing is undertaken at the optimal time.

5.2 Reports

The next reports will be the annual TM Report 2013/14 and the TM Update Report 2014/15 which will be reported to the Corporate Governance Committee in September.

Mae tudalen hwn yn fwriadol wag

Adroddiad i:	Pwyllgor Llywodraethu Corfforaethol
Dyddiad y Cyfarfod:	29 Ionawr 2014
Aelod/Swyddog Arweiniol:	Y Cyngorydd Barbara Smith
Awdur yr Adroddiad:	Catrin Roberts, Rheolwr Gwasanaethau Adnoddau Dynol
Teitl:	Proses Awdurdodi'r Cytundeb Setliad

1. Am beth mae'r adroddiad yn sôn?

Mae'r adroddiad yn ymwneud â'r adolygiad diweddar a gynhaliwyd gan yr Archwilwyr ar y cytundeb setliadau. Daeth yr Archwilwyr i'r casgliad, er nad oedd unrhyw reswm i amau dilysrwydd unrhyw un o'r achosion a adolygwyd, nad oes gan y Cyngor bolisi na chod ymarfer ffurfiol ar gyfer ymdrin ag achosion ac nad oes gweithdrefnau ffurfiol i'w dilyn i sicrhau cysondeb, tegwch a thryloywder nac i ddarparu achos busnes cymeradwy ar gyfer pob cytundeb. O ganlyniad, gwnaethpwyd yr argymhellion canlynol:

- Datblygu polisi a phroses ar gyfer gytundebau setliadau
- Dylai hyn gynnwys achos busnes ar gyfer gwneud y cytundeb setliad a phroses ffurfiol ar gyfer cymeradwyo.
- Darparu gwybodaeth gadarn i gefnogi'r achos

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

Pwrpas yr adroddiad hwn yw rhoi diweddariad ar yr argymhellion uchod.

3. Beth yw'r Argymhellion?

Nodi cynnwys yr adroddiad.

4. Manylion am yr adroddiad

Mae proses ddrafft wedi ei datblygu i fynd i'r afael â'r materion a godwyd yn ystod yr adolygiad archwilio.

Mae'r broses yn cynnwys:

- Ffurflen Caglu Gwybodaeth Achosion Cymhleth - bydd hyn yn sicrhau bod gwybodaeth gadarn i gefnogi'r achos a bod yr adran gyfreithiol yn ymwneud â'r achos yn fuan yn y broses i sicrhau bod cytundeb setliad yn addas.
- Ffurflen Cyfarwyddyd Cytundeb Setliad - mae hyn yn nodi'r amodau i'w cynnwys yn y cytundeb

- Proses Awdurdodi Cytundeb Setliad - cyn y cytunir ar gytundeb setliad bydd angen iddo gael ei awdurdodi gan y Pennaeth Gwasanaeth/Cyfarwyddwr priodol, y Pennaeth Cyllid ac Asedau a'r Pennaeth Adnoddau Dynol. Bydd hyn yn sicrhau bod cytundebau yn cael eu gweithredu'n gyson ac yn deg ar draws yr awdurdod.

Mae'r broses yn destun ymgynghoriad ar hyn o bryd. Unwaith y cytunir ar hyn, gall y broses gael ei rhoi ar waith. Felly rydym ni'n rhagweld y bydd y proses ar waith ddechrau mis Chwefror.

5. Faint fydd hyn yn ei gostio a sut bydd yn effeithio ar wasanaethau eraill?

Nid oes cost uniongyrchol yn gysylltiedig â gweithredu'r broses hon. Bydd y costau'n cael eu penderfynu fesul achos ar ôl ystyried y ffeithiau ategol. Bydd y broses hon yn darparu proses llawer mwy cadarn ar gyfer awdurdodi cytundebau setliadau a bydd hynny yn ei dro yn helpu'r awdurdod i amddiffyn ei hun yn well.

6. Beth yw prif gasgliadau'r Asesiad o Effaith ar Gydraddoldeb a gwblhawyd ar gyfer y penderfyniad? Dylid cynnwys templed yr Asesiad o Effaith ar Gydraddoldeb a gwblhawyd fel atodiad i'r adroddiad.

Nid oes unrhyw fater yn codi o'r Asesiad o'r Effaith ar Gydraddoldeb.

7. Pa ymgynghori a gwblhawyd gydag Archwilio ac eraill?

Mae'r broses yn destun ymgynghoriad ar hyn o bryd.

8. Datganiad y Prif Swyddog Cyllid

Bydd y broses awdurdodi yn cryfhau sefyllfa'r cyngor o ran cytundebau setliadau ac yn darparu dull teg a chyson ar draws yr awdurdod. O safbwynt ariannol, bydd yn sicrhau bod unrhyw gytundeb yn darparu dull cost effeithiol o ddelio â materion.

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

Pwrpas y broses hon yw lleihau'r risg i'r awdurdod drwy ddarparu proses gadarn ac amddiffynadwy.

Settlement Agreement Authorisation
Process
January 2014

Equality Impact Assessment

Settlement Agreement Authorisation Process

Contact: Catrin Roberts

Updated: 15th January 2014

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

A new procedure

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 purpose is to provide a robust process by which settlement agreements are authorised within the authority.

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*

Yes

<If no, briefly summarise the reasons for this decision here, and skip ahead to the declaration at the end>

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)

An assessment has been undertaken against the protected characteristics and the impact of the proposed changes on them using an EIA assessment form

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)

The impact will be the same regardless of an employee's protected characteristics

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 the impact will be the same on all employees regardless of their protected characteristics

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

No <If yes, please provide detail>

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

No <If yes please complete the table below. If no, please explain here>

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: January 2015

Name of Lead Officer for Equality Impact Assessment	Date
Catrin Roberts	15/01/14

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

Adroddiad i'r:	Pwyllgor Llywodraethu Corfforaethol
Dyddiad y Cyfarfod:	29 Ionawr 2014
Aelod/Swyddog Arweiniol:	Alan Smith, Pennaeth Cynllunio Busnes a Pherfformiad
Awdur yr Adroddiad:	Craig Berry, Rheolwr Gwybodaeth Corfforaethol
Teitl:	Strategaeth Rheoli Gwybodaeth - Rhaglen Gwaith i'r Dyfodol

1. Am beth mae'r adroddiad yn sôn?

- 1.1 Cyflwynwyd Strategaeth Rheoli Gwybodaeth newydd y Cyngor i'r Pwyllgor Llywodraethu Corfforaethol ar 18 Rhagfyr, 2013. Cydnabu'r Pwyllgor yr angen am Strategaeth o'r fath a gofynnwyd i raglen gwaith i'r dyfodol gael ei llunio ar gyfer ei gweithredu a'i chyflwyno i'r cyfarfod nesaf.

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

- 2.1 Darparu rhaglen gwaith i'r dyfodol ar gyfer y Strategaeth Rheoli Gwybodaeth i'r Pwyllgor Llywodraethu Corfforaethol.

3. Argymhelliad

- 3.1 Argymhellir bod y Pwyllgor Llywodraethu Corfforaethol yn nodi'r rhaglen gwaith i'r dyfodol.
- 3.2 Argymhellir hefyd y dylid cyflwyno diweddariad blynyddol i'r Pwyllgor am y cynnydd sy'n cael ei wneud ar weithredu'r Strategaeth Rheoli Gwybodaeth.

4. Manylion am yr Adroddiad

- 4.1 Gweler Atodiad 1 i weld rhaglen gwaith i'r dyfodol y Strategaeth Rheoli Gwybodaeth.

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

- 5.1 Bydd y fframwaith a amlinellir yn y Strategaeth yn cefnogi'r Cyngor i gyflawni'r blaenoriaethau corfforaethol, drwy:
- Sicrhau y gellir nodi ein gwybodaeth yn gyflym ac yn rhwydd;
 - Sicrhau y caiff ein gwybodaeth ei diogelu, yn ôl risg;
 - Sicrhau bod gan ein staff a'n haelodau'r lefelau gofynnol o gymhwysedd i reoli gwybodaeth yn briodol;

- Sicrhau bod ein gwybodaeth yn diwallu gofynion statudol, a
- Sicrhau y caiff ein cofnodion hanfodol eu nodi a'u diogelu'n unol â hynny.

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

6.1 Cymeradwywyd cyllid ar gyfer y prosiect EDRMS yn ddiweddar gan y Tîm Gweithredol Corfforaethol am 3 blynedd arall. Nid oes angen unrhyw adnoddau ariannol ychwanegol ar gyfer gweithredu'r Strategaeth Rheoli Gwybodaeth, gan fod angen newid mewn diwylliant ac ymddygiad, a fydd yn cael eu cefnogi drwy bolisiau, prosesau, gweithdrefnau newydd a hyfforddiant.

7. Beth yw prif gasgliadau'r Asesiad o Effaith ar Gydraddoldeb a gwblhawyd ar gyfer y penderfyniad?

7.1 Mae Swyddog Cydraddoldeb y Cyngor wedi awgrymu y dylid cynnal Asesiadau Effaith ar y camau gweithredu yn hytrach na'r Strategaeth.

8. Pa ymgynghori a gwblhawyd gydag Archwilio ac eraill?

8.1 Wrth ddatblygu'r Strategaeth Rheoli Gwybodaeth, rhannwyd y fersiwn ddrafft gyda'r budd-ddeiliaid allweddol a ganlyn i gael eu sylwadau:

- Pennaeth Cynllunio Busnes a Pherfformiad
- Rheolwr Trawsnewid Busnes a TGCh
- Cyfarwyddwr Corfforaethol - Moderneiddio a Lles
- Cyfarwyddwr Corfforaethol - Cwsmeriaid
- Aelod Arweiniol dros Foderneiddio a Pherfformiad/
- Cyfreithwyr

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

9.1 Dyma rai o'r risgiau o beidio â rheoli'n hasedau gwybodaeth yn briodol:

- Dirwyon - Deddf Diogelu Data yw £500,000
- Niwed i enw da
- Methu cyflawni arbedion effeithlonrwydd
- Methu cyflawni'r rhaglen foderneiddio

10. Datganiad y Prif Swyddog Cyllid

10.1 Amherthnasol

Atodiad 1 - Strategaeth Rheoli Gwybodaeth: Cynllun Gwaith i'r Dyfodol

CYF	GWEITHREDU	DYDDIAD CWBLHAU TARGED	STATWS
CYFFREDINOL			
IM 01	Datblygu a lansio Strategaeth Rheoli Gwybodaeth	Tach-13	Cwblhawyd
IM 02	Datblygu a lansio ystod o dudalennau mewnwyd rheoli gwybodaeth newydd	Rhag-13	Cwblhawyd
IM 03	Creu swydd Swyddog Mynediad i Wybodaeth i ddarparu mwy o allu a ffocws i'r rôl hon.	Rhag-13	Cwblhawyd
IM 04	Cytuno ar lefelau darparu cefnogaeth ar faterion rheoli gwybodaeth i ysgolion	Ebrill-14	Ar y gweill
RHEOLI COFNODION			
IM 05	Datblygu a lansio Polisi Rheoli Cofnodion	Hyd-14	Heb ddechrau
IM 06	Datblygu cynllun digido ar gyfer y Storfeydd Corfforaethol (ôl-sganio cofnodion papur i mewn i EDRMS) gyda rhaglen sganio gysylltiedig	Meh-14	Heb ddechrau
IM 07	Cyhoeddi'r Rhestr Cadw Corfforaethol ar y fewnwyd	Rhag-13	Cwblhawyd
IM 08	Ail-fformatio Rhestr Cadw i'w gwneud yn haws i'w defnyddio ar gyfer gwasanaethau a chodi ymwybyddiaeth	Mai-14	Heb ddechrau
IM 09	Cynnwys gofynion cadw cofnodion o fewn dylunio, newid a chaffael system TGCh	Ebrill-14	Heb ddechrau
IM 10	Datblygu a lansio modiwl rheoli cofnodion e-Ddysgu	Medi-14	Ar y gweill
IM 11	Cyflwyno rhestr o gymorthfeydd rheoli cofnodion/sesiynau galw i mewn ar gyfer gwasanaethau	Tach-14	Heb ddechrau
IM 12	Cyflwyno amserlen o ddyddiau amnest ffeiliau i annog gwasanaethau i ddychwelyd unrhyw ffeiliau maent wedi eu tynnu allan a heb eu dychwelyd	Ebrill-14	Heb ddechrau
IM 13	Datblygu canllawiau cyfeirio cyflym/Cwestiynau Cyffredin i staff ar faterion rheoli cofnodion (gan gynnwys ysgolion)	Tach-14	Heb ddechrau
IM 14	Clirio'r ôl-groniad o focsys sydd wedi mynd heibio eu dyddiad adolygu ac angen eu dinistrio	Maw-14	Heb ddechrau
IM 15	Asesu dewisiadau ar gyfer trosglwyddo data o'r gronfa ddata a thaelenni Lotus Notes presennol i un system sy'n cynrychioli dewis TG mwy addas a chynaliadwy.	Mai-14	Heb ddechrau

IM 16	Datblygu cynlluniau ffeil cadarn ar gyfer pob gwasanaeth, fel rhan o roi'r EDRMS ar waith	Cyfredol	Ar y gweill – wedi'i gynnwys fel rhan o weithrediad EDRMS
IM 17	Adolygu a diweddarau cynnwys rheoli cofnodion a ddefnyddir fel rhan o'r cwrs cyflwyno corfforaethol	Mai-14	Heb ddechrau
IM 18	Datblygu cofnod canolog o gofnodion papur hanfodol. Adolygu'r cofnod i helpu i ddatblygu polisi/canllawiau ar gyfer rheoli cofnodion hanfodol (electronig a phapur) i amddiffyn rhag colled/niwed	Hyd-14	Heb ddechrau
	MYNEDIAD I WYBODAETH		
IM 19	Gweithredu EDRMS – Refeniw a Budd-daliadau	Rhag-09	Cwblhawyd
IM 20	Gweithredu EDRMS – Iechyd a Diogelwch	Mai-12	Cwblhawyd
IM 21	Gweithredu EDRMS - Adnoddau Dynol	Ebrill-11	Cwblhawyd
IM 22	Gweithredu EDRMS – Cefnogi Cwsmeriaid ac Addysg	Rhag-13	Cwblhawyd
IM 23	Gweithredu EDRMS – Cynllunio a Rheoli Adeiladau	Rhag-10	Cwblhawyd
IM 24	Gweithredu EDRMS – Gwella Ysgolion	Ebrill-14	Ar y gweill
IM 25	Gweithredu EDRMS – Archwilio Mewnol	Ion-14	Ar y gweill
IM 26	Gweithredu EDRMS – Tai	Ebrill-14	Ar y gweill
IM 27	Gweithredu EDRMS – Gwasanaethau Cymdeithasol	Chwef-15	Heb ddechrau
IM 28	Gweithredu EDRMS - Cyflogres	Rhag-14	Heb ddechrau
IM 29	Gweithredu EDRMS – Cyfarwyddwyr	Meh-14	Heb ddechrau
IM 30	Gweithredu EDRMS - Gwella Busnes a Moderneiddio	Tach-14	Heb ddechrau
IM 31	Gweithredu EDRMS – Gwasanaethau Amgylcheddol	Maw-15	Heb ddechrau
IM 32	Gweithredu EDRMS - Gwasanaethau Cyfreithiol a Democraidd	Gorff-15	Heb ddechrau
IM 33	Gweithredu EDRMS - Cwsmeriaid, Marchnata a Hamdden	Tach-15	Heb ddechrau
IM 34	Gweithredu EDRMS – Cyllid ac Asedau	Mai-16	Heb ddechrau
IM 35	Gweithredu EDRMS - Cynllunio a Gwarchod y Cyhoedd	Gorff-16	Heb ddechrau
IM 36	Gweithredu EDRMS – Priffyrdd a Seilwaith	Maw-17	Heb ddechrau
IM 37	Datblygu a chyflwyno achos busnes ystafell bost electronig i Fwrdd y Rhaglen Foderneiddio ar gyfer ystyriaeth	Chwef-14	Ar y gweill

IM 38	Cynnwys cyflwyniad i EDRMS fel rhan o'r cyflwyniad corfforaethol	Ebrill-14	Heb ddechrau
IM 39	Digido catalogau archifau wedi'u teipio a chyhoeddi ar y wefan	Rhag-14	Ar y gweill
IM 40	Nodi casgliadau archif sy'n addas ar gyfer eu digido a datblygu amserlen ar gyfer digido	Meh-14	Ar y gweill
IM 41	Cyflawni achrediad archifau	Rhag-14	Ar y gweill
IM 42	Archwilio cysylltiad posibl rhwng EDRMS ac Archivemata ar gyfer cofnodion digidol ac sydd o bwysigrwydd hanesyddol	Gorff-14	Ar y gweill
IM 43	Datblygu a lansio Canllawiau Di-annibendod /Canllawiau Cynnal a Chadw Papur	Chwef-14	Ar y gweill
IM 44	Datblygu tudalen Facebook ar gyfer Gwasanaeth Archifau Sir Ddinbych	Maw-15	Heb ddechrau
SICRWYDD GWYBODAETH			
IM 45	Datblygu a lansio Polisi Gyriant Rhwydwaith	Chwef-14	Ar y gweill
IM 46	Diweddarau a lansio Polisi Diogelu Gwybodaeth	Meh-14	Heb ddechrau
IM 47	Datblygu a lansio Gweithdrefn Torri Diogelwch Gwybodaeth	Maw-14	Ar y gweill
IM 48	Datblygu a lansio modiwl e-ddysgu diogelu gwybodaeth	Awst-14	Heb ddechrau
IM 49	Datblygu Cwestiynau Cyffredin a'r canllawiau cyfeirio cyflym ar gyfer staff ymhellach (gan gynnwys ysgolion) ar faterion diogelu gwybodaeth a chyhoeddi ar y fewnwyd	Gorff-14	Heb ddechrau
IM 50	Cyflawni achrediad RhGC	Meh-14	Ar y gweill
IM 51	Adolygu ac ymgorffori gofynion diogelu gwybodaeth ar gyfer dylunio, newidiad a chaffael systemau TG	Mai-14	Ar y gweill
IM 52	Datblygu a chyflwyno achos busnes ar gyfer e-bost diogel Egress	Maw-14	Ar y gweill
IM 53	Datblygu cynigion ar gyfer cyflwyno cynllun marcio amddiffynnol yn unol â gofynion Swyddfa'r Cabinet	Rhag-14	Heb ddechrau
IM 54	Asesu cefnogaeth gwastraff cyfrinachol presennol y Cyngor a datblygu argymhellion ar gyfer gwella.	Rhag-14	Heb ddechrau
IM 55	Datblygu a lansio Polisi Dod â'ch Dyfais eich Hun	Rhag-14	Heb ddechrau
IM 56	Adolygu cynnwys diogelu gwybodaeth a ddefnyddir fel rhan o'r cyflwyniad corfforaethol	Mai-14	Heb ddechrau
IM 57	Cyflwyno cyfres o archwiliadau ar hap i sicrhau bod safonau a pholisïau diogelu gwybodaeth yn cael eu diwallu ar wybodaeth papur ac electronig o fewn gwasanaethau	Awst-14	Heb ddechrau
IM 58	Datblygu a lansio modiwl e-ddysgu E-bost	Gorff-14	Heb ddechrau
IM 59	Datblygu Cofrestr Asedau Gwybodaeth	Chwef-14	Ar y gweill

IM 60	Datblygu a lansio Polisi E-bost	Meh-14	Heb ddechrau
IM 61	Cynnal adolygiad blynyddol o risg i wybodaeth ac effeithiolrwydd y polisi risg gwybodaeth.	Ebr-14	Heb ddechrau
IM 62	Datblygu a chyfathrebu canllawiau pellach/arfer gorau ar rannu gwybodaeth	Meh-14	Heb ddechrau
IM 63	Coladu a chyhoeddi cytundebau rhannu gwybodaeth ar draws y Cyngor gyda chofrestr ganolog	Ion-14	Cwblhawyd
CYDYMFFURFIAETH GWYBODAETH			
IM 64	Gweithio gyda gwasanaethau i gynnwys gwybodaeth y gofynnir amdani amlaf yn y Cynllun Cyhoeddi	Rhag-14	Ar y gweill
IM 65	Codi ymwybyddiaeth am y dirwyon diweddaraf trwy gyhoeddi ar y fewnrwyd a chyfathrebu gwrsi a ddysgwyd (bob chwarter)	Cyfredol	Cyfredol
IM 66	Creu a lansio modiwl e-ddysgu Diogelu Data (gorfodol)	Maw-14	Ar y gweill
IM 67	Creu a lansio modiwl e-Ddysgu Rhyddid Gwybodaeth	Mai-14	Ar y gweill
IM 68	Creu a lansio modiwl e-Ddysgu Rhyddid Gwybodaeth Amgylcheddol	Mai-14	Ar y gweill
IM 69	Trefnu cyfarfodydd bob 6 mis gyda Swyddogion Rheoli Gwybodaeth i wella cyfathrebu ar draws y rhwydwaith	Chwef-14	Ar y gweill
IM 70	Archwilio'r defnydd o Gofnodion Datgelu fel modd o gyhoeddi ymatebion i geisiadau am wybodaeth	Meh-14	Heb ddechrau
IM 71	Datblygu canllawiau a Chwestiynau Cyffredin ar fynediad i faterion gwybodaeth ar gyfer staff (gan gynnwys ysgolion)	Gorff-14	Heb ddechrau
IM 72	Adolygu Rhwydwaith Swyddog Rheoli Gwybodaeth	Rhag-14	Cwblhawyd
IM 73	Trefnu hyfforddiant mynediad i wybodaeth ar gyfer UDA, y Pwyllgor Llywodraethu Corfforaethol a Swyddogion Rheoli Gwybodaeth	Chwef-14	Cwblhawyd
IM 74	Adolygu cynnwys mynediad i wybodaeth a ddefnyddir fel rhan o'r cyflwyniad corfforaethol	Maw-14	Heb ddechrau
IM 75	Ffurfio Grŵp Llywodraethu Gwybodaeth i arwain ar a chydlynu materion Mynediad i Wybodaeth	Hyd-13	Cwblhawyd
IM 76	Asesu'r Cynllun Cyhoeddi ac ymgymryd ag unrhyw waith sydd ei angen i sicrhau ei fod yn bodloni gofynion SCG	Tach-13	Cwblhawyd
IM 77	Cyflwyno Asesiad Effaith Preifatrwydd i fframwaith rheoli prosiect corfforaethol	Medi-13	Cwblhawyd
IM 78	Cyflwyno Asesiad Effaith Preifatrwydd i ddylunio, newid a chaffael systemau TG	Maw-14	Ar y gweill

ANSAWDD GWYBODAETH			
IM 79	Datblygu a lansio Polisi Rheoli Fersiwn	Chwef-14	Ar y gweill
IM 80	Datblygu a lansio Polisi enwi ffeil	Chwef-14	Ar y gweill
IM 81	Datblygu a lansio ystod o dempledi corfforaethol.	Hyd-14	Heb ddechrau

Mae tudalen hwn yn fwriadol wag

Adroddiad i'r:	Pwyllgor Llywodraethu Corfforaethol
Dyddiad y Cyfarfod:	29 Ionawr 2014
Aelod/Swyddog Arweiniol:	Barbara Smith/ Gary Williams Swyddog Monitro ac Uwch-swyddog Cyfrifol ar gyfer Deddf Rheoleiddio Pwerau Ymchwilio (RIPA)
Awdur yr Adroddiad:	Lisa Jones, Dirprwy Swyddog Monitro.
Teitl:	Adroddiad Blynyddol Deddf Rheoleiddio Pwerau Ymchwilio 2000 (RIPA) Adroddiad

1. Am beth mae'r adroddiad yn sôn?

Mae Codau Ymarfer RIPA y Swyddfa Gartref yn ei gwneud yn ofynnol i awdurdodau lleol adrodd gweithgareddau'r Cyngor mewn perthynas ag unrhyw cuddwyllo, i aelodau etholedig. Mae'r Pwyllgor Llywodraethu Corfforaethol yn derbyn adroddiadau o'r fath.

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

Rhoi gwybod i'r Aelodau am weithgareddau'r Cyngor yn y maes hwn.

3. Beth yw'r Argymhellion?

Bod y Pwyllgor Llywodraethu Corfforaethol

(1) yn nodi cynnwys yr adroddiad

(2) yn darparu barn i swyddogion ynghylch defnyddio cuddwyllo yn y Sir.

4. Mae RIPA yn rheoleiddio'r defnydd o dechnegau cuddwyllo a ddefnyddir gan wahanol gyrff megis yr heddlu, y lluoedd arfog, yr Adran Gwaith a Phensiynau ac awdurdodau lleol. Cafodd RIPA ei ddeddfu er mwyn sicrhau bod hawliau dynol unigolyn yn cael eu diogelu. Yng nghyd-destun RIPA, Erthygl 8 (yr hawl i barchu bywyd preifat a theuluol person) o'r Confensiwn Ewropeaidd ar Hawliau Dynol a Rhyddid Sylfaenol yw'r mwyaf perthnasol.

Yn ogystal â hawliau dynol, mae'n rhaid i ymgyrchoedd cuddwyllo hefyd ystyried unrhyw Godau Ymarfer y Swyddfa Gartref. Mae'r Codau Ymarfer bellach yn ei gwneud yn ofynnol i aelodau etholedig dderbyn adroddiadau rheolaidd (o leiaf unwaith y flwyddyn) ar weithgareddau'r Cyngor yn y maes hwn. Yn ystod y cyfnod ymgynghori ar y gofynion hyn darparodd llywodraeth y dydd y sefyllfa ganlynol mewn perthynas â'r cwestiwn - A ddylai cynghorwyr etholedig gael rôl wrth oruchwyllo'r ffordd y mae awdurdodau lleol yn defnyddio technegau ymchwilio cudd?

Sefyllfa'r Llywodraeth:

'gan weithio o'r rhagdybiaeth y dylai'r ffordd y mae awdurdodau cyhoeddus yn cyflawni eu dyletswyddau gael ei ddeall gan, ac ennyn hyder a chefnogaeth y gymuned leol, mae'r Swyddfa Gartref yn cytuno y gall cynnwys aelodau etholedig mewn awdurdodau lleol fod yn ddefnyddiol o ran tryloywder ac atebolrwydd. Y consensws cyffredinol o'r ymgynghoriad hwn yw y dylai cynghorwyr oruchwyllo defnydd y cyngor o dechnegau ymchwiliol cudd a awdurdodir o dan RIPA, y dylai'r oruchwyliaeth hon fod yn strategol, nid gweithredol, ac y dylai awdurdodau lleol unigol fod â rhywfaint o hyblygrwydd lleol i benderfynu ar union ffurf ac amllder y goruchwyllo hwnnw'.

Uwch Swyddog Cyfrifol y Cyngor ar gyfer RIPA sy'n dal y cofnod canolog o geisiadau ac mae'n cydlynu cais y Swyddog Ymchwilio i Swyddogion Awdurdodi RIPA'r Cyngor (Tîm Gweithredol Corfforaethol), pan fydd cuddwyllo yn cael ei gynllunio.

Gweithgarwch RIPA CSDd

Yn ystod y cyfnod 1 Ionawr 2013 i 31 Rhagfyr 2013, cynhaliodd y Cyngor wylidwriaeth gyfeirio ar un achlysur mewn perthynas â gwerthu alcohol i bobl dan oed.

Yn ystod yr un cyfnod, gwnaed 13 o awdurdodiadau i gaffael data cyfathrebu drwy aelodaeth y Cyngor o'r Rhwydwaith Gwrth-dwyll Cenedlaethol. (NAFN). Gwasanaethau allweddol y Rhwydwaith yw:

- Caffael data yn gyfreithlon, yn effeithlon ac yn effeithiol gan amrywiaeth eang o ddarparwyr gwybodaeth,
- Gweithredu fel canolbwynt ar gyfer casglu, coladu a dosbarthu rhybuddion cudd-wybodaeth,
- Darparu enghreifftiau o arfer gorau o ran proses, ffurflenni a gweithdrefnau.

Cafodd deddfwriaeth RIPA ei diwygio gan Ddeddf Diogelu Rhyddidau 2012 ac yn awr mae'n caniatáu i'r Cyngor gynnal cuddwyllo mewn rhai amgylchiadau penodol yn unig, sef:

- Pan fo'r drosedd a amheuir yn dod o fewn diffiniad 'Trosedd Ddifrifol'
- Pan fo'r Cyngor wedi cael Cymeradwyaeth Ynadon yn gyntaf cyn dechrau ar y gweithgaredd gwylidwriaeth. Mae hyn yn digwydd cyn gynted ag y bydd Swyddog Awdurdodi mewnol Cyngor Sir Ddinbych (swyddog o'r Tîm Gweithredol Corfforaethol) yn cymeradwyo'r cais.

Mae dogfen Polisi a Gweithdrefnau RIPA Corfforaethol y Cyngor wedi ei diweddarau i adlewyrchu'r prosesau hyn.

Arolygiaeth

Cafodd y Cyngor ei arolygu gan Swyddfa'r Comisiynydd Gwylidwriaeth ar 14 Mehefin 2012 mewn perthynas â'i weithgareddau gwylidwriaeth dan

gyfarwyddyd, ac ar 11 Medi 2012 gan 'Swyddfa'r Comisiynydd Ymyrryd â Chyfathrebu, mewn perthynas â'i weithgareddau 'ymyrryd â chyfathrebu'. Mae'r Pwyllgor Llywodraethu Corfforaethol eisoes wedi derbyn copïau o'r adroddiadau a gyflwynwyd i'r Pwyllgor gan Uwch-swyddog Cyfrifol RIPA ar 14 Tachwedd 2012.

Sefydlodd y Cyngor weithgor RIPA yn 2009, sydd wedi parhau i gyfarfod tua dwywaith y flwyddyn. Mae aelodaeth bellach yn cynnwys y rheolwr Teledu cylch caeedig (TCC) yn ogystal â Swyddogion o adran Gwarchod y Cyhoedd ac adran yr Amgylchedd. Gwaith y grŵp yw sicrhau bod Swyddogion sy'n gweithio yn y maes hwn yn ymwybodol o newidiadau yn y gyfraith a bod hyn yn cael ei adlewyrchu yn ein polisi corfforaethol.

Mae'r gweithgor hwn hefyd yn ystyried gofynion hyfforddi'r cynghorau yn y maes hwn, ac yn darparu hyfforddiant yn fewnol er mwyn cadw'r gost i lawr a'r cynnwys yn berthnasol i anghenion a pholisi'r awdurdod hwn. Cynhaliwyd y rownd ddiwethaf o hyfforddiant ar 18 Mehefin 2012 ar gyfer Swyddogion Ymchwilio, yna sesiwn ar wahân ar gyfer y Swyddogion Awdurdodi (Tîm Gweithredol Corfforaethol) ym mis Medi 2012. Mae tystiolaeth o hyfforddiant yn un maes y mae'r Arolygwyr yn awyddus i weld yn digwydd ac mae hyfforddiant gloywi wedi'i gynllunio ar gyfer 2014 i gael ei gyflwyno gan y Swyddog Monitro / Uwch-swyddog Cyfrifol ar gyfer RIPA a'r Dirprwy Swyddog Monitro / Cydlynnydd RIPA.

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

Mae'n cyfrannu at y flaenoriaeth gorfforaethol o gadw'r Cyngor yn agos at y gymuned.

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

Nid oes unrhyw oblygiadau ar wasanaethau eraill o ganlyniad i'r adroddiad hwn.

7. Pa ymgynghoriadau sydd wedi eu cynnal?

Nid oes unrhyw ymgynghoriadau wedi bod yn angenrheidiol ar gyfer yr adroddiad hwn.

8. Datganiad y Prif Swyddog Cyllid

Does dim angen datganiad.

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

Nid oes unrhyw risgiau o ran cydymffurfio â RIPA'n llawn, mae risgiau o beidio â chydymffurfio oherwydd efallai y byddwn yn torri hawliau dynol.

- 10. Beth yw prif gasgliadau'r Aseiad o Effaith ar Gydraddoldeb a gwblhawyd ar gyfer y penderfyniad? Dylid cynnwys templed yr Aseiad o Effaith ar Gydraddoldeb a gwblhawyd fel atodiad i'r adroddiad.**

Dim

- 11. Pŵer i wneud y Penderfyniad**

Deddf Rheoleiddio Pwerau Ymchwilio 2000

Adroddiad i'r: Pwyllgor Llywodraethu Corfforaethol

Dyddiad y Cyfarfod: 29 Ionawr 2014

Awdur yr Adroddiad: Pennaeth y Gwasanaethau Archwilio Mewnol

Teitl: Adroddiad Cynnydd Archwilio Mewnol

1. Am beth mae'r adroddiad yn sôn?

Mae'r adroddiad hwn yn diweddarau'r Pwyllgor ar gynnydd diweddaraf Archwilio Mewnol o ran cyflwyno gwasanaeth, darparu sicrwydd, adolygiadau a gwblhawyd, perfformiad ac effeithiolrwydd wrth gymell gwelliant.

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

I gyflwyno'r wybodaeth ddiweddaraf i'r Pwyllgor ynghylch:

- cyflawni ein Cynllun Sicrwydd ar gyfer 2013/14 (Atodiad 1)
- adroddiadau Archwilio Mewnol diweddar a gyhoeddwyd (Atodiad 2)
- ymateb y rheolwyr i faterion a godwyd gennym (Atodiad 3)
- Perfformiad Archwilio Mewnol (Atodiad 4)

3. Beth yw'r Argymhellion?

- Pwyllgor i ystyried a rhoi sylwadau ar gynnydd a pherfformiad Archwilio Mewnol hyd yma yn 2013/14
- Pwyllgor i ystyried a rhoi sylwadau ar adroddiadau Archwilio Mewnol diweddar a gyhoeddwyd a dilyniant a gwblhawyd

4. Cynnydd Archwilio Mewnol

Cyflwyno Cynllun Sicrwydd Archwilio Mewnol 2013/14

- 4.1. Mae Atodiad 1 yn rhoi dadansoddiad o'n gwaith yn ystod 2013/14, o'i gymharu â'r Strategaeth Archwilio Mewnol. Mae'n cynnwys sgoriau sicrwydd a nifer o faterion a godwyd ar gyfer yr adolygiadau a gwblhawyd, diffiniadau a ddefnyddir i ffurfio ein sicrwydd archwilio a'r mesurau a ddefnyddiwyd i asesu'r lefelau risg ar gyfer materion a godwyd.
- 4.2. Yn ystod cyfarfod un-i-un diweddar o fewn y tîm Archwilio Mewnol, rydym wedi blaenoriaethu'r prosiectau hynny a ystyrir yn 'Sicrwydd Hanfodol' er mwyn sicrhau eu bod yn cael eu cwblhau o leiaf at gam drafft o'r adroddiad erbyn 31 Mawrth 2014.
- 4.3. Mae trosglwyddo'r gwasanaeth i'r gwasanaeth Gwella Busnes a Moderneiddio, gweithredu'r system EDRMS gorfforaethol, tendro ar gyfer contract allanol a symud i liniaduron newydd wedi achosi peth aflonyddwch o fewn y gwasanaeth yn yr wythnosau diwethaf a all arwain at rai o'r prosiectau 'Sicrwydd ar sail risg' ddim yn cael eu cwblhau yn ystod 2013/14.

Os bydd hyn yn digwydd, bydd y prosiectau hyn yn cael eu blaenoriaethu o fewn y gwaith cynllunio sicrwydd ar gyfer 2014/15.

Crynodeb o Adroddiadau Archwilio Mewnol Diweddar

4.4. Mae ein hadroddiadau'n defnyddio lliwiau ar gyfer mesur sicrwydd fel a ganlyn:

Gwyrdd	Sicrwydd Uchel	Risgiau a rheolaethau wedi'u rheoli'n dda
Melyn	Sicrwydd Canolig	Risgiau wedi eu nodi, ond yn gallu eu cynnwys ar lefel gwasanaeth
Oren	Sicrwydd Isel	Risgiau a nodwyd sydd angen cyfarfod gyda Chyfarwyddwr/Aelod Arweiniol
Coch	Dim Sicrwydd	Risgiau sylweddol a nodwyd sydd angen cynhadledd achos gyda'r aelod/swyddog

4.5. Mae Atodiad 2 yn rhoi crynodeb o'r adroddiadau Archwilio Mewnol terfynol a gyhoeddwyd ers fy adroddiad ym mis Rhagfyr 2013. Mae adroddiadau crynodeb gweithredol a chynlluniau gweithredu hefyd yn cael eu cynnwys ar gyfer gwybodaeth bellach.

Ymateb y rheolwyr i faterion a godwyd gan Archwilio Mewnol

4.6. Mae'r rhan fwyaf o'n hadroddiadau Archwilio Mewnol yn nodi risgiau a gwendidau rheolaeth. Rydym yn mesur y rhain fel risg allweddol, mawr neu gymedrol. Mae rheolwyr yn cytuno ar gamau gweithredu i fynd i'r afael â'r risgiau, gan gynnwys cyfrifoldebau ac amserlenni.

4.7. Rydym yn rhoi gwybod am bob achos lle bydd rheolwyr yn methu ymateb i'n gwaith dilynol neu os ydynt yn mynd dros y dyddiad gweithredu y cytunwyd arno gan fwy na thri mis. Mae'r Pwyllgor hwn yn penderfynu a oes angen cymryd camau pellach e.e. trwy ffonio'r bobl berthnasol i'w gyfarfod nesaf neu ofyn am adroddiad ysgrifenedig i egluro diffyg cynnydd.

4.8. Mae Atodiad 3 yn dangos adolygiadau dilynol a gwblhawyd ers fy adroddiad diwethaf i'r Pwyllgor hwn. Oherwydd cyfnod y Nadolig, rydym yn dal i weithio ar rai o gamau dilynol Ionawr 2014, felly byddwn yn rhoi diweddariad i'r Pwyllgor ar y rhain yn ei gyfarfod nesaf.

Perfformiad Archwilio Mewnol

4.9. Mae Archwilio Mewnol yn mesur ei berfformiad mewn dau faes allweddol:

- *Darparu 'Sicrwydd Hanfodol'* - Mae'r prosiectau hyn yn sicrhau bod y Cyngor yn cyflawni ei rwymedigaethau Swyddog Adran 151, yn rheoli ei brif risgiau corfforaethol a chanddo drefniadau cadarn ar waith ar gyfer llywodraethu corfforaethol a chyflawni ei flaenoriaethau corfforaethol.
- *'Safonau Cwsmer'* - Ystod o ddangosyddion i sicrhau ein bod yn darparu gwasanaeth da i'n cwsmeriaid.

4.10. Mae Atodiad 4 yn dangos ein perfformiad hyd yn hyn ar gyfer 2013/14. 'Rydym ar y trywydd iawn i gyflawni 100% o brosiectau 'Sicrwydd Hanfodol' erbyn 31 Mawrth 2014 gan y bydd nifer yn cael eu cwblhau yn ystod chwarter olaf y flwyddyn. Dylem gyflawni 100% ar yr holl 'Safonau

Cwsmer' gydag un eithriad lle rydym wedi rhoi wyth niwrnod gwaith o rybudd o gychwyn prosiect yn hytrach na'r 10 diwrnod angenrheidiol.

Mae tudalen hwn yn fwriadol wag

Internal Audit Work 2013/14 – progress as at 05/01/14

Internal Audit Assurance Plan	Planned Days	Days to Date	Current Status	Audit Assurance	No. of Critical Issues	No. of Major Issues	No. of Moderate Issues	Comments
Financial Assurance								
Financial systems – Ruthin based 2012/13	0	1	Complete	Medium	0	1	7	Completion of 2012/13 review
Financial systems – Rhyl based	48	42	Complete	High	0	0	3	
Financial systems – Ruthin based	30	0	Preparation					Due to commence January 2014
Financial systems - Activedata testing 2012/13	16	14	Complete	Medium	0	0	0	
Settlement agreements	5	4	Complete	n/a	0	3	0	Summary report
Sub-totals	99	62	% Internal Audit Assurance Plan			Estimated: 4.6%		Actual to date: 4.1%
Performance	4 planned projects - 3 completed to draft report stage = 75%							
Grant & Other Certification Assurance								
Sustainability/Climate Change	3	4	Complete	High	0	0	4	
Welsh Government (WG) education grant certification	15							Completion of 2012/13 review
- Breakfast initiative Grant		5	Complete	High	0	0	0	
- Thinking & Assessment for Learning Grant		3	Complete	n/a	0	0	0	
WG 6 th Form Funding – Ysgol Brynhyfryd, Ruthin	15	17	Complete	Medium	0	0	3	
WG Student Finance certification	5	6	Complete	High	0	0	0	
WG 6 th Form Funding - Denbigh High School	15	2	Preparation					Due to commence January 2014
Sub-totals	53	37	% Internal Audit Assurance Plan			Estimated: 2.5%		Actual to date: 2.4%
Performance	5 planned projects - 3 completed to draft report stage = 80%							

Internal Audit Assurance Plan	Planned Days	Days to Date	Current Status	Audit Assurance	No. of Critical Issues	No. of Major Issues	No. of Moderate Issues	Comments
Corporate Governance Assurance								
Risk management	0	5	Complete	Medium	0	0	4	Completion of 2012/13 review
Procurement	20	36	Complete	Low	0	6	5	
Corporate Plan - Developing the local economy	9	0	Not started					Due Jan-Mar 2014
Corporate Plan - Improving performance in education and the quality of our school buildings	3	0	Not started					Due Jan-Mar 2014
Corporate Plan - Improving our roads	4	0	Not started					Due Jan-Mar 2014
Corporate Plan - Vulnerable people are protected and are able to live as independently as possible	6	0	In progress					
Corporate Plan - Ensuring access to good quality housing	3	0	Not started					Due Jan-Mar 2014
Corporate Plan - Clean & tidy streets	5	0	Not started					Due Jan-Mar 2014
Corporate Plan - Strategic overview	1	0	Not started					Due Jan-Mar 2014
Customer Service Standards	7	1	Preparation					Due Jan-Mar 2014
Customer feedback process	10	1	Preparation					Due Jan-Mar 2014
Corporate Plan - Modernising the council to deliver efficiencies and improve services for our customers - Other areas	15	0	Preparation					Due Jan-Mar 2014
Partnerships & collaboration - N. Wales Commissioning Hub	15	0	Not started					Due Jan-Mar 2014
Partnerships & collaboration New Work Connections Exit strategy		5	Complete	Medium	0	0	2	
Project management	20	23	In progress					

Internal Audit Assurance Plan	Planned Days	Days to Date	Current Status	Audit Assurance	No. of Critical Issues	No. of Major Issues	No. of Moderate Issues	Comments
- Rhyl Foryd Harbour Pedestrian & Cycle Bridge			Draft report					
Management of human resources - disciplinaries & difficult situations	20	0	Preparation					Due Jan-Mar 2014
Management of human resources - cessation of employment	20	0	Not started					Due Jan-Mar 2014
Roles & responsibilities of elected members & senior officers	5	0	Preparation					Due Jan-Mar 2014
Scheme of delegation for decision making	5	0	Not started					Due Jan-Mar 2014
S151 Officer Role	6	3	In progress					
Equalities	15	0	Preparation					Due Jan-Mar 2014
Leadership	1	0	Complete	High	0	0	0	Assurance taken from outcome of staff survey
Corporate Governance Framework	15	5	In progress					On-going work during the year
Sub-totals	205	79	% Internal Audit Assurance Plan			Estimated: 9.6%		Actual to date: 5.2%
Performance	21 planned projects - 4 completed to draft report stage = 19%							
High Corporate Risk Assurance								
Collaboration agenda	3	0	Cancelled					No longer high risk in Corporate Risk Register
Change/ modernisation projects	3	0	Not started					Due Jan-Mar 2014
HR framework	3	0	Not started					Due Jan-Mar 2014
ICT investment	3	0	Not started					Due Jan-Mar 2014
Corporate Risk - Safeguarding	3	1	In progress					
Corporate Risk - Economic Environment	2	0	Not started					Due Jan-Mar 2014
Corporate Risk - Arms Length Organisations	2	3	Completed					Review of risks associated with Clwyd Leisure Ltd.

Internal Audit Assurance Plan	Planned Days	Days to Date	Current Status	Audit Assurance	No. of Critical Issues	No. of Major Issues	No. of Moderate Issues	Comments
Corporate Risk - BCU Health Board Partnership	3	0	Not started					Due Jan-Mar 2014
Sub-totals	22	4	% Internal Audit Assurance Plan			Estimated: 1.0%		Actual to date: 0.3%
Performance	7 planned projects-1 completed = 14%							
Risk-based Assurance								
Corporate Health & Safety	20	25	Complete	Medium	0	1	5	
Sickness absence management	25	0	Not started					Postponement to 14/15 to allow implementation of new procedures
Travel & subsistence - pool cars	20	21	Complete	n/a	n/a	n/a	n/a	Review of viability only
Welfare advice	30	41	Complete	Medium	0	1	7	
Management of Council buildings	20	24	Complete					Verbal update on request of S151 Officer
Adult Services - improvement & priority areas from self-assessment 2013/14	5	1	In progress					
Adult Services - residential care	20	24	Complete	Medium	0	0	13	
Adult Services - Deputy for Finance (Court of Protection)	12	12	Complete	Medium	0	0	4	
Children's Services - improvement & priority areas from self-assessment 2013/14	5	0	In progress					
Children's Services - cash payments to clients	15	10	In progress					
Children's Services - performance	1	1	Completed	n/a	n/a	n/a	n/a	Review of specific performance indicator only
Library Standards	2	1	In progress					
School admissions	10	0	Not started					Due Jan-Mar 2014
2st Century Schools programme	10	0	Not started					Due Jan-Mar 2014

Internal Audit Assurance Plan	Planned Days	Days to Date	Current Status	Audit Assurance	No. of Critical Issues	No. of Major Issues	No. of Moderate Issues	Comments
School themed visits - governance	20	24	In progress					
School themed visits - physical security / health & safety	30	1	Scoping					Due Jan-Mar 2014
School themed visits - procurement	20	1	Scoping					May be postponed to 2014/15
School themed visits - safeguarding	15	1	Scoping					Due Jan-Mar 2014
School themed visits - School Fund management	15	1	Scoping					May be postponed to 2014/15
Blessed Edward Jones School, Rhyl	15	21	Draft report					
Special Education	30	0	Not started					May be postponed to 2014/15
Flying Start Grant	5	0	Complete	n/a	n/a	n/a	n/a	Project no longer necessary
School Improvement performance	1	0	Cancelled					No longer required as performance improved
School Improvement - review of admin, terms & conditions, TOIL & travel costs	20	30	Draft report					
Fly tipping	1	1	Complete					Review of specific performance indicator only
Public conveniences	10	20	Complete	Medium	0	0	4	
Highways network services	10	0	Not started					Due Jan-Mar 2014
S106 Agreements	10	1	Cancelled					Head of Service no longer requires project
Legal Services	25	0	Not started					Due Jan-Mar 2014
Coroners Service	20	0	Not started					Due Jan-Mar 2014
Taxi driver & vehicle licensing	25	0	Not started					Due Jan-Mar 2014
IT assurance work	10	1	Not started					Due Jan-Mar 2014
Fostering Service	0	8	Complete	Medium	0	0	2	Completion of 2012/13 review

Internal Audit Assurance Plan	Planned Days	Days to Date	Current Status	Audit Assurance	No. of Critical Issues	No. of Major Issues	No. of Moderate Issues	Comments
Adults services - efficiency of charging processes	0	8	Complete	n/a	n/a	n/a	n/a	Completion of 2012/13 review
Modernising Education	0	4	Complete	n/a	n/a	n/a	n/a	Completion of 2012/13 review
Ysgol Clawdd Offa, Prestatyn	0	4	Complete	Low	0	7	21	Completion of 2012/13 review
Winter maintenance	0	1	Complete	Medium	0	0	10	Completion of 2012/13 review
Countryside Services	0	23	Complete	Medium	0	0	8	Completion of 2012/13 review
Housing Services	0	7	Complete	Medium	0	0	8	Completion of 2012/13 review
Consultant payments	0	10	In progress					On-going work from 2012/13
Review of corporate petty cash accounts	0	12	In progress					Issue noted during another project
Revision of schools audit programme & 6th form terms & conditions	0	4	In progress					Work needed in advance on 2014/15 projects
Management of human resources - agency / relief staff	10	10	In progress					
Sub-totals	487	353	% Internal Audit Assurance Plan			Estimated: 22.7 %		Actual to date: 23.3%
Modernising & Efficiency Projects								
Leisure Services information management system	2	0	Not started					Date to be agreed
Fleet management & vehicle maintenance	15	1	Scoping					Commencement to be agreed
Reablement service	3	5	Complete					
Disabled Facilities Grants	10	3	Scoping					Commencement to be agreed
Housing responsive repairs & voids - continuation of performance measurement	10	4	In progress					
Planning & Public Protection - process reviews of various services	10	9	Complete					

Internal Audit Assurance Plan	Planned Days	Days to Date	Current Status	Audit Assurance	No. of Critical Issues	No. of Major Issues	No. of Moderate Issues	Comments
IT Service Desk	10	9	Complete					
Contingency for future reviews	16							
Sub-totals	76	31	% Internal Audit Assurance Plan			Estimated: 3.6%		Actual to date: 2.1%
External Contract Work								
Natural Resources Wales	165	118						
North Wales Police	225	184						
School Fund Audits	40	16						
Sub-totals	430	318	% Internal Audit Assurance Plan			Estimated: 20.1%		Actual to date: 21.0%
Other Areas of Work & Contingencies								
Consultancy & Corporate Work	120	114						
Follow up reviews	53	46						
IA collaboration	20	14						
Frauds & Investigations	50							
- National Fraud Initiative		7						
- Council Tax complaint		6						
- THI Grants		17						
- general enquiries		10						
IA relationship management	25	8						
Sub-totals	268	222	% Internal Audit Assurance Plan			Estimated: 12.5%		Actual to date: 14.7%

Internal Audit Assurance Plan	Planned Days	Days to Date	Current Status	Audit Assurance	No. of Critical Issues	No. of Major Issues	No. of Moderate Issues	Comments
IA Support								
Management & administration	400	273						
Training & development	100	135						
Sub-totals	500	408	% Internal Audit Assurance Plan			Estimated: 23.4%		Actual to date: 26.9%
Grand Totals	2140	1514						

Recent Internal Audit Reports

Audit Report	Audit Opinion	Issues Raised			Comments
		Critical Risk (Red)	Major Risk (Amber)	Moderate Risk (Yellow)	
Adult Services - Residential Care Homes	Medium	0	0	13	
Public conveniences	Medium	0	0	4	

Denbighshire Internal Audit Services
Caledfryn, Smithfield Road, Denbigh, LL16 3RJ

Residential Care Homes

December 2013



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Purpose & Scope of Review

We carried out a review of the Council-managed residential care homes in August 2013, having not audited them for several years.

We visited the following homes:

- Awelon, Ruthin
- Cysgod y Gaer, Corwen
- Dolwen, Denbigh

The scope of our work focused on general management issues at all three sites, i.e. we did not look at any social care elements. We reviewed the following:

- Income / asset records and procedures
- Petty cash accounts & procurement
- Health & safety, fire safety, building management and general security

Assurance Rating

(Based on areas reviewed)

■	High Assurance	Risks and controls well managed
▶	Medium Assurance	Risks identified but are containable at service level
	Low Assurance	Risks identified that require meeting with Corporate Director/Lead Member
	No Assurance	Significant risks identified that require member / officer case conference

Audit Opinion

Overall, our review of the three homes found that they manage financial tasks well and, in general, there is good record keeping for residents' monies. They administer petty cash accounts well but use them excessively, so need to review their procurement practices. Each home has a culture of incurring expenditure through the petty cash accounts to the extent that it is unreasonable. Wherever possible, framework agreements should be used to procure goods and services and better use of the Proactis system will introduce added controls and more efficient ways of working.

Training is a predominant feature for employees to help ensure that they are sufficiently skilled to carry out their role safely and efficiently. The supply of courses to meet the demand can be problematic in some subject areas but this issue needs to be looked at from a service perspective.

The majority of health and safety requirements are in place but some lapses in fire management records and evacuation drills leave the homes vulnerable in the event of an emergency. The fundamental elements of health and safety are widely embedded throughout the home environment and routine tasks connected with water management, portable appliance (PAT) testing of electrical goods, food hygiene and others are carried out regularly. A lot of work has gone into setting up a fire management file at each site and Awelon and Cysgod y Gaer would do well to replicate the system in place at Dolwen, which is of a high standard. This would help to address the issues raised in respect of fire equipment and site location maps.

Our main area of concern is around the relaxed approach to general building security. Procedures and activities need to be far more robust than they currently are to maximise the safety of the residents and employees. There are no panic alarms or call buttons to protect employees should they feel threatened by a difficult personal situation and there needs to be more vigilance when visitors or contractors are on site, with signing in and out logs always completed. Raising awareness of the implications of security lapses should encourage employees to be more proactive in maintaining a safer working environment and home for the residents.

We have raised several issues, which are all achievable at service level; however, given the nature of some of the issues, we held an escalation meeting with the Corporate Director – Modernisation & Wellbeing and the Lead Member for Social Care & Children's Services to seek assurance that the action plan to address the issues is robust. As we received this assurance, we have given a medium assurance rating for the areas reviewed.

Action Plan

Audit Review of: Residential Care Homes
Date: December 2013
Action Plan Owner: Phil Gilroy (Head of Adult & Business Services)

Corporate Risk/Issue Severity Key	
	Critical – Significant CET and Cabinet intervention
	Major – intervention by SLT and/or CET with Cabinet involvement
	Moderate – Containable at service level. Senior management and SLT may need to be kept informed

Risk/ Issue No.	Risk/Issue	Action	Who	When
Tudalen 84	<p>1. There is no overarching policy at any of the homes for managing people’s finances, e.g. stipulating how much the service is prepared to hold for residents.</p> <p>Additionally, linked to the above, there are no written procedures in place to guide members of staff on how to deal with income and residents’ monies, particularly if received outside of normal office hours.</p>	<ul style="list-style-type: none"> The Admission Agreement letter issued to all new residents has been amended to ensure that new residents are advised that the home can only hold a maximum of £100 per individual resident and a record held of the fact that this information has been given. 	Home Managers	1 December 2013
		<ul style="list-style-type: none"> Work is already underway to develop a procedure to guide members of staff in the receipt of money out of hours. 	Home Managers	1 December 2013
		<ul style="list-style-type: none"> General everyday procedures i.e. operated during normal hours, to be developed as well as the above. 	Home Managers	1 January 2014

Risk/ Issue No.	Risk/Issue	Action	Who	When
2.	<p>Despite having a number of supplier framework agreements, there is still a large amount of expenditure incurred via the petty cash account, to the extent that it is being over-used at all three homes.</p> <p>We have highlighted several risks linked to this method in our report and, through better communication with the Strategic Procurement unit, the number of ad-hoc purchases made from supermarkets can be reduced.</p>	<ul style="list-style-type: none"> Petty cash account to be reviewed with support from Finance and Procurement colleagues to make better use of the framework agreement, while at the same time enabling managers to continue to support residents accessing the community and making choices for themselves in certain areas. Develop an action plan with the Finance and Procurement Officers to look at specific products and to review on-going spend through the petty cash accounts. 	<p>Team Manager /Procurement & Finance Officers. Home managers will be involved in these discussions.</p> <p>As above</p>	31 March 2014
3.	<p>All three homes are processing an excessive number of standalone invoices through Proactis. This poses financial risks and circumvents expected controls.</p> <p>Additionally, activity in respect of purchasing could be modernised, making better use of IT, leading to more efficient ways of working.</p>	<ul style="list-style-type: none"> Discussions with Finance and Proactis colleagues to provide additional training for relevant members of staff to make better use of the Proactis system. (Training courses to begin in January 2014 focusing on refresher training and key areas for improvement) With specific reference to orders made by the cooks, in all three homes cooks and other kitchen staff have now been instructed that all orders must go through the office. Home Managers will monitor this to ensure compliance. 	<p>Team Manager</p> <p>Home Managers</p>	<p>31 March 2014</p> <p>1 November 2013 & on-going</p>

Risk/ Issue No.	Risk/Issue	Action	Who	When
4.	Training courses are provided in-house but the terms and conditions of the Welsh Government funding arrangements make it difficult for members of staff in the homes to access courses, due to them being offered to all other sectors at the same time.	<ul style="list-style-type: none"> • Workforce Development team to continue working with Provider Managers to identify critical training needs affecting Provider staff, e.g. prioritising first aid and refresher training where applicable. • Increased use of CYG training room in the south of the county as appropriate • Earlier identification of training needs for new staff joining the service. 	Team Manager – Workforce Development MS	1 March 2014
5.	<p>Management is not always proactive in delivering refresher training in health and safety (this mainly applies to Awelon & Cysgod y Gaer).</p> <p>Also, for consistency with the other homes, employees at Cysgod y Gaer would benefit from training in personal safety & conflict resolution</p>	<ul style="list-style-type: none"> • Health and safety training for members of staff in both the north and south of the county has been arranged to include building security and personal safety. <i>These arrangements were made in September 2013 and the training is scheduled to be delivered in January and February 2014. Home Managers will ensure that all relevant members of staff attend.</i> • Also consider scope to provide conflict training if available. 	Home Managers	1 March 2014

Risk/ Issue No.	Risk/Issue	Action	Who	When
6.	First aid notices and signage for the location of equipment are not displayed at Awelon and Cysgod y Gaer.	<p><i>Captured within the work done with corporate colleagues in respect of the implementation of the new Fire Safety Procedures. Work was undertaken and the procedure implemented initially in Dolwen and is now being rolled out to both Awelon and Cysgod y Gaer.</i></p> <ul style="list-style-type: none"> Managers on these sites were already required to ensure that this work was completed by 1 February 2014. Work is still on-going and progressing well at this time. 	Team/Home Managers	1 February 2014
7.	Asbestos surveys are provided in a prime location at all homes but management needs to be more proactive in raising awareness and prompting contractors to read the survey and sign the register before they start work on site (this mainly applies to Dolwen and Cysgod y Gaer).	<p><i>Home Managers are already required to ensure that all contractors read the survey information and sign the register to indicate that they have done so.</i></p> <ul style="list-style-type: none"> Managers will now review the arrangements in place for this and look to develop a more robust system. 	Home Managers	1 December 2013
8.	For consistency and to avoid confusion, it would be advisable to replicate Dolwen's fire management file at all three locations and remove the need for additional files to be maintained, which could lead to confusion and information not being up to date.	See action in response to Risk/Issue 6 above	Team/Home Managers	1 February 2014

Tudalen 87

Risk/ Issue No.	Risk/Issue	Action	Who	When
9.	<p>Fire equipment records at Awelon and Cysgod y Gaer are not up to date. Additionally, location maps at both these sites are out of date. Both factors could be critical in the event of a fire.</p> <p>As part of this housekeeping exercise, all emergency plans would benefit from a check to ensure that all information held is accurate.</p>	<p>See action in response to Risk/Issue 6 above.</p> <ul style="list-style-type: none"> Emergency plans to be reviewed in line with the above on-going work. 	<p>Team/Home Managers</p> <p>Team/Home Managers</p>	<p>1 February 2014</p> <p>1 March 2014</p>
10.	<p>Procedures and the frequency of fire drills and evacuations should be improved through some discussion with the Corporate Health & Safety Advisor, who specialises in this area.</p> <p>Records are not always maintained when fire drills and evacuations occur.</p>	<ul style="list-style-type: none"> Team Manager met with Corporate Health & Safety Officer in September 2013 to confirm the introduction of the new style fire training. New fire training process implemented by Home Managers in November 2013 and reviewed by Team Manager during December. Records of all events to be retained. <p>See action in response to Risk/Action 6 above</p> <ul style="list-style-type: none"> Develop a schedule of all health and safety and property related activities to ensure they are carried out simultaneously at all three homes throughout the year to enable lessons learnt to be shared between management. 	<p>Team Manager/H & S Officer</p> <p>Home Managers</p> <p>Home Managers</p>	<p>Completed</p> <p>31.12.2013</p> <p>31.01.14</p>

Risk/ Issue No.	Risk/Issue	Action	Who	When
11.	<p>In line with health and safety requirements, management needs to be more vigilant in ensuring that all visitors to the homes sign in on arrival and out when leaving the building.</p> <p>Additionally, options to raise awareness of visitors arriving, such as the use of doorbells, should be considered.</p>	<p><i>During the hours of darkness it has always been the practice to lock the front door of all three homes. During daytime the door is unlocked to enable residents who are able to come and go. In acknowledging the concerns raised in this audit report the need to enable residents to continue with this practice in some way needs to be maintained.</i></p> <ul style="list-style-type: none"> • Raise the matter for discussion with the residents to seek their views and consider potential solutions. Following consultation, communicate the new process to all parties. • In the meantime, be more vigilant in ensuring that all visitors to the building sign in on arrival and out on departure. • In addition, consider the feasibility of locking the door and visitors being required to ring the bell. Appropriate notices will be put in place to this effect. 	<p>Home Managers</p> <p>Home Managers</p> <p>Team Manager</p>	<p>31 December 2013</p> <p>01 November 2013</p> <p>31 January 2014</p>

Risk/ Issue No.	Risk/Issue	Action	Who	When
Tudalen 90	<p>12. Members of staff may be at risk of personal attack, particularly in the manager's office areas, and currently there are no panic alarms or call buttons to raise awareness to other employees if an incident occurs.</p>	<ul style="list-style-type: none"> Carry out a review of activity undertaken in the manager's office area (most of these are adjacent to the front door) to determine which activities need to happen in that area with a view to reducing the amount of time individuals work alone in the area. Clearly not all activity can take place elsewhere but alongside this review, the Team Manager will explore the options in respect of the provision of panic / personal alarms to be used by individuals working in these areas. Personal alarms have now been obtained and circulated to Home Managers for use by individuals in the office areas. Training to be provided. 	Home Managers	1 December 2013
			Team Manager	1 December 2013
			Home Managers	25 November 2013
Tudalen 90	<p>13. Our walk-through checks at the homes alerted us to some security risks (as detailed in our report) and an overall review of security arrangements may help to instil an awareness of the potential risks of these actions and to consider where improvements can be made.</p>	<ul style="list-style-type: none"> Each Home Manager will be instructed to carry out a review in this area and this will be overseen by the Team manager. Include awareness raising for members of staff in respect of overall security in forthcoming staff meetings. Reinforce this message at subsequent meetings and more generally with members of staff in daily handover meetings. <p>In the meantime managers have been instructed to take the following actions:</p>	Home Managers	18 November 2013
			Team Manager	25 November 2013
			Home Managers	1 November 2013
			Team Manager	25 November 2013

Risk/ Issue No.	Risk/Issue	Action	Who	When
Tudalen 91		<ul style="list-style-type: none"> • Not to use door wedges and to remove them all. • Ensure that where there are external doors (with the exception of the front door) these can only be left open when there is a member of staff in the room/area. • Where rooms are locked (including those marked Dangerous Substances) and keys left in the lock, on the doorframe or hooks, all keys are to be removed and managers have been instructed to locate these in a safe but accessible place for staff use. <p>In relation to Awelon and the neighbouring Llys Awelon unit. The Home Manager has advised her own staffing team and those in Llys Awelon of the security issues raised in the report and reminded them of the arrangements for securing both units.</p> <p>The Team Manager will review compliance on all of these areas during January 2014.</p>	Team Manager	31 January 2014

Denbighshire Internal Audit Services
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Public Conveniences

December 2013



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Ivan Butler CMIIA, MBA, Head of Internal Audit Services

Purpose & Scope of Review

We reviewed the public conveniences services as we have had not reviewed this area for several years and the Head of Service had requested some assurance over income collection processes.

As part of the review we looked at the following areas:

- income collection and controls
- staffing arrangements
- running costs
- customer service
- safety and security

Assurance Rating

(Based on areas reviewed)

High Assurance	Risks and controls well managed
▼ Medium Assurance	Risks identified but are containable at service level
Low Assurance	Risks identified that require meeting with Corporate Director/Lead Member
No Assurance	Significant risks identified that require member / officer case conference

Audit Opinion

Overall, the day-to-day running of the public conveniences services provides a good service to the public. The Service Manager, who is currently on secondment in the role, plays a key role in ensuring that the services provided are clean and safe to use.

Income controls are good overall but could be strengthened by monitoring trends over time to identify any unusual fluctuations in income levels that may be an indicator of fraud. There are also some problems with meter readings that need to be addressed to ensure that readings are accurate to assist income reconciliations.

The service has reviewed its staffing capacity in an attempt to put the most cost-effective and efficient arrangements in place. Although there has been an increase in overtime and relief staff expenditure, this has been more than offset by a reduction in the use of agency employees, reducing staffing costs overall. Other running costs are also well-managed and have reduced over recent years.

The service needs to ensure that it has openness and transparency in its recruitment processes, particularly where relatives apply for posts. We found two cases where relatives of managers within the service were working as relief staff and there was no evidence that the managers had cleared this with senior management.

The service responds promptly and positively to customer feedback but needs to make sure that it consults relevant equalities groups and carries out Equality Impact Assessments when making key decisions on service delivery or refurbishing sites where necessary.

Sites are well maintained and regularly cleaned, including inspections for syringes etc. Other safety and security processes are good, including income collection and handling, CCTV coverage and stock controls.

Action Plan

Audit Review of: Public Conveniences

Date: December 2013

Action Plan Owner: Head of Highways & Environment

Corporate Risk/Issue Severity Key	
	Critical – Significant CET and Cabinet intervention
	Major – intervention by SLT and/or CET with Cabinet involvement
	Moderate – Containable at service level. Senior management and SLT may need to be kept informed

Risk/Issue No.	Risk/Issue	Action	Who	When
1 Tudalen 94	<p>Although overall income controls are good, there are weaknesses relating to:</p> <ul style="list-style-type: none"> monitoring of income trends to identify fluctuations; meter readings relating to income from the pods do not agree to actual income collected. The income is always more than the income recorded; and sales and reconciliations of radar keys 	<ul style="list-style-type: none"> Set up comparison spreadsheet for year on year comparison of income to identify trends Compare income trends against other trends (where possible) i.e. car parks and tourism figures Investigate whether this is a 'common' problem in other local authorities that charge for unmanned toilets and will investigate whether there is a solution Create a 'stock control' sheet for RADAR keys Investigate alternative 'purchase' arrangements of keys by one stop shops from us 	<p>Cleaning Services & Public Toilet Manager/ Client Officer - Catering Services/ Performance Officer - Business Support</p> <p>Performance Officer - Business Support</p> <p>Performance Officer - Business Support</p> <p>Client Officer - Catering Services/ Performance Officer - Business Support</p> <p>Client Officer - Catering Services/ Senior Finance & Assurance Officer</p>	<p>31 March 2014</p> <p>Annually after end of financial year</p> <p>31 March 2014</p> <p>31 March 2014</p> <p>31 March 2014</p>

Risk/ Issue No.	Risk/Issue	Action	Who	When
2.	The recruitment process for employing relatives of current employees within the service is not always transparent. Written approval has not been provided when appointing relatives to officers within the service.	<ul style="list-style-type: none"> • Ensure that any family members relationship is disclosed on application form • Obtain written agreement from Cleaning Service Manager or Head of Service (if required) 	Performance Officer - Business Support	Immediate
3.	The service needs to ensure that Equality Impact Assessments are carried out where necessary where the service will provided will be affected.	EQIA will be carried out for all further service adjustments that may affect access as necessary	Performance Officer - Business Support	Immediate

Mae tudalen hwn yn fwriadol wag

Internal Audit Follow up Reviews

Audit Report	No. of Issues Followed Up	Outcome of Follow Up
Ysgol Brynhyfryd, Ruthin	3	<ul style="list-style-type: none">All 3 actions have been implemented at the School
Settlement Agreements	3	<ul style="list-style-type: none">Draft Settlement Agreement procedures out for consultation.Strategic HR to provide a separate report to this Committee

Mae tudalen hwn yn fwriadol wag

Internal Audit Performance 2013/14

Internal Audit Performance

<i>Essential Assurance - all targets 100%</i>
Review of agreed Financial Assurance areas in Assurance Plan by 31/03/14
So far, we have completed 75% of the planned projects, with the remaining project scheduled to be completed before 31 March 2014.
Review of agreed Grants & Certification Assurance areas in Assurance Plan by 31/03/14
So far, we have completed 80% of the planned projects, with the remaining project scheduled to be completed before 31 March 2014.
Review of agreed Corporate Governance Assurance areas in Assurance Plan by 31/03/14
Most of these projects are scheduled for January to March 2014 to allow time for progress on the Corporate Plan. So far, we have completed 19% of the planned projects.
Review of agreed High Corporate Risk Assurance areas in Assurance Plan by 31/03/14
All seven projects are scheduled for completion by 31 March 2014. So far we have completed 14% of the planned projects.

<i>Customer Standards - all targets 100%</i>
Contact customers at least 2 weeks in advance to arrange a suitable date for our visit
Current performance is 92%. Shorter notice given to customer in one case.
Send customers the agreed Project Scoping Document before we commence work
Current performance is 100%
Send the customer a draft report within 10 working days of the closing meeting
Current performance is 100%
Send the customer our final audit report within 5 working days of agreeing the draft
Current performance is 100%

Mae tudalen hwn yn fwriadol wag

Adroddiad i'r:	Pwyllgor Llywodraethu Corfforaethol
Dyddiad y Cyfarfod:	29 Ionawr 2014
Awdur yr Adroddiad:	Pennaeth y Gwasanaethau Archwilio Mewnol
Teitl:	Cynllun Gweithredu Fframwaith Llywodraethu Corfforaethol

1. Am beth mae'r adroddiad yn sôn?

Mae'r adroddiad yn darparu cynllun gweithredu wedi'i ddiweddarau i'r Pwyllgor o ganlyniad i'r adolygiad o fframwaith llywodraethu'r Cyngor a Datganiad Llywodraethu Blynyddol 2012/13.

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

Bydd y Pwyllgor Llywodraethu Corfforaethol yn monitro Cynllun Gweithredu'r Fframwaith Llywodraethu Corfforaethol yn rheolaidd fel rhan o drefniadau llywodraethu cyffredinol y Cyngor i sicrhau fod y Cyngor yn cyflwyno'r gwelliannau angenrheidiol yn effeithiol.

3. Beth yw'r Argymhellion?

Dylai'r Pwyllgor ystyried a gwneud sylwadau ar Gynllun Gweithredu drafft y Fframwaith Lywodraethu Corfforaethol ac a oes angen unrhyw wybodaeth bellach arno ar y meysydd sydd wedi'u trafod yn y Cynllun Gweithredu.

4. Cefndir

4.1 Mae Fframwaith Llywodraethu Corfforaethol y Cyngor yn cynnwys asesiad blynyddol o drefniadau llywodraethu'r Cyngor a Datganiad Llywodraethu Blynyddol sy'n amlygu unrhyw wendidau llywodraethu arwyddocaol. Mae'r Fframwaith hefyd yn amlygu meysydd pellach sy'n dal angen eu gwella, er nad ydynt yn wendidau arwyddocaol.

4.2 Mae Grŵp Llywodraethu'r Cyngor yn rheoli proses y Fframwaith Llywodraethu Corfforaethol a datblygiad y Datganiad Llywodraethu Blynyddol yn barhaus yn ystod y flwyddyn ariannol. Mae'r Grŵp hwn yn cynnwys:

- Cadeirydd Y Pwyllgor Llywodraethu Corfforaethol
- Is-Gadeirydd y Pwyllgor Llywodraethu Corfforaethol
- Pennaeth y Gwasanaethau Cyfreithiol a Democrataidd
- Pennaeth Gwella Busnes a Moderneiddio
- Pennaeth Cyllid ac Asedau
- Pennaeth Archwilio Mewnol

4.3 Mae'r Grŵp Llywodraethu wedi datblygu'r Cynllun Gweithredu yn Atodiad 1, sydd wedi'i ddiweddarau ers ein hadroddiad diwethaf i ddangos y cynnydd hyd yma a'r amserlenni arfaethedig.

Mae tudalen hwn yn fwriadol wag

Corporate Governance Framework Action Plan - January 2014

Red - No started Amber - In progress Green - Complete

Improvement Area from AGS	Responsibility	Timescale	Progress	RAG Status
Significant Governance Issues form the Annual Governance Statement 2012/13				
Strategic HR needs to implement improvements following an adverse Internal Audit report.	Head of Strategic HR	December 2013	Head of Strategic HR & Head of Internal Audit provided separate progress report to Corporate Governance Committee 4 September 2013	Amber
We need to improve our information governance, management of information assets and the way we train employees and elected members in Data Protection and Freedom of Information requirements.	Head of Business Improvement & Modernisation	April 2014	<ul style="list-style-type: none"> Reviewed Data Protection training and rolling out Developed Information Risk Policy, ready to launch Progressing roll out of EDRMS Corporate Filing programme Information Strategy presented to Corporate Governance Committee 	Green
Governance Principle 1 - Focusing on the purpose of the Council and on outcomes for the community and creating and implementing our medium and long term vision				
We still have work to do to develop how we will deliver some of our corporate priorities	Head of Business Improvement & Modernisation	n/a	<ul style="list-style-type: none"> Progressed as far as possible. Priorities expanded upon, with proposed outcomes, actions etc. Progress being monitored in performance reports. Economic Ambition Strategy developed and agreed 	Green
We need to improve co-ordination of the various self-assessments that we carry out.	Head of Business Improvement & Modernisation	31/01/14	Head of Internal Audit services developing a new approach for the 2013/14 self-assessment and Annual Governance Statement.	Amber
Within our financial planning, we need to develop a more strategic approach to the efficiency programme for the difficult years ahead.	Head of Finance & Assets	n/a	<ul style="list-style-type: none"> New approach being developed – presented to SLT and at an elected members' workshop Due to pilot with two services in February 2014 	Green
Heads of Service are developing new service standards to improve customer service further.	Head of Customers & Education Support	31/03/14	<ul style="list-style-type: none"> All services have standards in place where they are relevant Will be subject to Internal Audit review during 2013/14 	Amber

Improvement Area from AGS	Responsibility	Timescale	Progress	RAG Status
We still have work to do to improve how we manage customer complaints.	Head of Customers & Education Support	n/a	<ul style="list-style-type: none"> The policy has been revised and re-launched with officers, elected members and the public Procedures are in place to record and monitor complaints in all services and further work has to be done to analyse and use the information to review service delivery Will be subject to Internal Audit review during 2013/14 	Green
The configuration of Denbighshire's strategic partnerships is not yet right and requires further work.	Head of Business Improvement & Modernisation	n/a	We have now discontinued CYPP and HSCWB partnerships and the main groups reporting to them. Instead we have a Single Strategic Partnership Board supporting the LSB. No further rationalisation is planned.	Green
We need to re-launch our partnership framework to make sure that everyone is aware of it and uses it.	Head of Business Improvement & Modernisation	n/a	Partnership framework launched on Intranet and issued to SLT to cascade. No further action planned.	Green
We are improving our procurement strategy, systems and processes to achieve more financial savings.	Head of Finance & Assets	31//03/14	<ul style="list-style-type: none"> Re-writing procurement strategy Members of National Procurement Service and Welsh Purchasing Consortium Developing e-sourcing and e-invoicing. Draft Contract Procedure rules at consultation stage Developing four counties procurement project and category management project 	Amber
We are strengthening the service performance challenge process for 2013.	n/a	n/a	New process now in place and service challenges commenced. No further action planned.	Green
We will continue our work to fully embed programme and project management into our culture.	Head of Business Improvement & Modernisation	n/a	This is an on-going process but is now well established, with several officers trained in project management, use of Verto to record projects and regular reporting to CET. No further action planned.	Green

Improvement Area from AGS	Responsibility	Timescale	Progress	RAG Status
Governance Principle 2 - Members and officers working together to achieve a common purpose with clearly defined functions and roles				
We are developing a performance management framework for elected members.	Cabinet Lead Member for Modernising & Performance	31/03/14	<ul style="list-style-type: none"> There is an annual report from Scrutiny to Full Council on the performance of Scrutiny. Work is on-going in respect of the framework for reporting on the activities of members in other forums. 	Amber
While we now have a partnership framework, we need to make sure that all current partnerships meet its requirements.	Head of Business Improvement & Modernisation	n/a	This will be covered during Internal Audit work on partnerships on a regular basis.	Amber
We need to review the role of the S151 Officer to ensure that it meets recommended standards and good practice.	Head of Internal Audit Services	March 2014	Internal Audit review in progress to measure S151 role against CIPFA guidance.	Amber
Governance Principle 3 - Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour				
We need to update our anti-fraud and corruption policy.	Head of Legal & Democratic Services	January 2014	The policy remains to be reviewed. An updated policy will be presented to Corporate Governance Committee in January 2014	Amber
We are updating our Financial Regulations.	Head of Finance & Assets	31/03/14	Draft version being reviewed with Chief Accountant.	Amber
We are undertaking a self-assessment to ensure that the Corporate Governance Committee operates effectively as an audit committee.	Head of Internal Audit Services	31/01/14	Assessment postponed from July 2013 to September 2013 Committee meeting. Training session being delivered on 28 January 2014	Amber
Governance Principle 4 - Taking informed and transparent decisions, which are subject to effective scrutiny and managing risk				
We need to promote our scrutiny function among our stakeholders and provide further training for elected members. We will also implement any improvements arising from a recent peer review.	Head of Legal & Democratic Services	March 2014	<ul style="list-style-type: none"> The results of the WAO review of Scrutiny will be fed back at an event in Cardiff on 28 November. The Constitution Review Group will meet to discuss the findings of the review and any changes required to assist public engagement. 	Amber

Improvement Area from AGS	Responsibility	Timescale	Progress	RAG Status
Our Corporate Self-assessment recognised some improvements needed in risk management and we will implement these and any additional issues arising from the recent Internal Audit review.	Head of Business Improvement & Modernisation	n/a	All improvements in risk management now implemented. CET decided not to take forward any further work on risk appetite. No further work planned.	Green
We will update Internal Audit's Charter and carry out a self-assessment of the service to ensure that it complies with the new Public Service Internal Audit Standards.	Head of Internal Audit Services	March 2014	<ul style="list-style-type: none"> Internal Audit Charter updated and approved by Corporate Governance Committee but now needs to be revised following move to Business Improvement & Modernisation. Self-assessment planned to be completed before end of financial year. 	Amber
We are strengthening our research and intelligence functions to be more proactive in the way that we consider the external environment to support decision-making and strategic planning.	Head of Business Improvement & Modernisation	n/a	Research and development team now in place and working effectively. No further action planned.	Green
We are updating our Whistleblowing policy.	Head of Legal & Democratic Services	December 2013	The revised draft Policy has been the subject of consultation with trade unions and will be placed before Council in December 2013 for approval.	Amber
Governance Principle 5 - Developing the capacity and capability of members and officers to be effective				
We need to do more to improve the flexibility of our workforce to enable us to use them in the areas of greatest need.	Head of Strategic HR	n/a	<ul style="list-style-type: none"> After some initial research, the Modernisation Board decided that this was no longer viable, and the project to introduce job families and look at peaks and troughs in demand was stopped. Employees who find themselves at risk of redundancy are redeployed where possible. 	n/a
We are developing a new training programme for elected members based on a needs assessment.	Cabinet Lead Member for Modernising & Performance	January 2014	<ul style="list-style-type: none"> Members have held a workshop to discuss training needs and a survey of members' requirements has been conducted. The results of this process will be analysed and a training programme produced to reflect members' needs. Report to Cabinet Briefing in January 2014 and being progressed through Scrutiny 	Amber

Improvement Area from AGS	Responsibility	Timescale	Progress	RAG Status
There is still work to do to ensure that officer performance appraisals are completed at least once a year.	Head of Strategic HR	March 2014	<ul style="list-style-type: none"> Improvements have been made to the performance appraisal system to improve functionality and reporting accuracy. The completion rates of performance appraisals now forms part of the quality assurance provided to the Service Challenge panel for each service. 	Amber
Governance Principle 6 - Engaging with local people and other stakeholders to ensure robust public accountability				
We need to make sure that our employees are fully aware of the requirements of equalities legislation.	Head of Business Improvement & Modernisation	31/03/14	<ul style="list-style-type: none"> Respect Booklet launched. Will be subject to Internal Audit review in January 2014. 	Amber
The Consultation & Engagement Strategy needs to become embedded in our service delivery.	Head of Business Improvement & Modernisation	n/a	Work on this is continuing and is being supported through the roll out of The Denbighshire Way and the LSB engagement strategy.	Green
We will roll out the Denbighshire Volunteering Strategy.	Head of Strategic HR	To be agreed	Funding has been secured for 12 months to roll out the strategy. Recruited officer into post to implement the strategy.	Amber
We need to further improve the way we engage with business groups.	Head of Business Improvement & Modernisation	n/a	Work is progressing through the Economic Ambition Strategy. No further action planned.	Green

Mae tudalen hwn yn fwriadol wag

Adroddiad i'r:	Pwyllgor Llywodraethu Corfforaethol
Dyddiad y Cyfarfod:	29 Ionawr 2014
Aelod/ Swyddog Arweiniol:	Cyfarwyddwr Moderneiddio a Lles
Awdur yr Adroddiad:	Cyfarwyddwr Moderneiddio a Lles
Teitl:	Strategaeth Pobl 2011/14 – adroddiad cau

1. Am beth mae'r adroddiad yn sôn?

Mae'r adroddiad yn trafod y cynnydd mewn cyflawni yn erbyn y Strategaeth Pobl, ac yn nodi'r materion sy'n weddill ac yn argymhell y camau nesaf.

2. Beth yw'r rheswm dros wneud yr adroddiad hwn?

Mae'r Strategaeth Pobl wedi bod yn fecanwaith ar gyfer sicrhau bod blaenoriaethau corfforaethol y cyngor yn seiliedig ar waith Adnoddau Dynol a datblygu sefydliadol priodol. Mae'r cynnydd yn erbyn y Strategaeth yn cael ei adrodd i'r Pwyllgor Llywodraethu Corfforaethol er mwyn ategu'r rôl y mae'n ei chwarae o fonitro â'r Cynllun Gwella Adnoddau Dynol.

3. Beth yw'r Argymhellion?

Bod y Pwyllgor Llywodraethu Corfforaethol

3.1 yn nodi'r cynnydd a'r trefniadau a wnaed i sicrhau bod yna sylw'n cael ei roi'n barhaus i'r meysydd sydd weddill fel y nodir ym mharagraff 4.6

3.2 yn nodi bod y gwaith cwmpasu'n cael ei wneud er mwyn nodi heriau strategol Adnoddau Dynol a godir yn y cyngor yng nghyfnod 2014/17

4. Manylion am yr adroddiad

4.1 Datblygwyd y Strategaeth Pobl yn 2011 er mwyn nodi'r gwaith sy'n angenrheidiol i Adnoddau Dynol er mwyn sicrhau darpariaeth effeithiol o flaenoriaethau corfforaethol. Cytunodd yr Uwch Dîm Arweinyddiaeth ar y blaenoriaethau ar gyfer y Strategaeth, trwy gydweithio â chydweithwyr yn yr adran Adnoddau Dynol.

4.2 Mae'r strategaeth wreiddiol ynghlwm yn Atodiad 1. Themâu allweddol y cytunwyd arnynt oedd:

- 1 Atyniad a Chadw Gafael ar Sgiliau a Thalent - Sicrhau ein bod yn cael y bobl orau ar gyfer y gwaith
- 2 Datblygu'r Gweithlu - Sicrhau ein bod yn datblygu pobl yn briodol i gyflawni ein hamcanion busnes
- 3 Ymgysylltu â Chyflogeion - datgloi potensial pobl yn y gwaith

- 4 Rheoli Newid
- 5 Gweithlu Iachach

4.3 Datblygwyd cynllun gweithredu manwl er mwyn cyflawni'r Strategaeth Pobl. Mae Cynllun Gweithredu Blwyddyn 3, ynghyd â datganiad cynnydd wedi'i ddiweddarau i'w gael yn Atodiad 2 sydd ynghlwm.

4.4 Er bod y themâu allweddol wedi aros yr un fath, mae'r cynllun gweithredu wedi datblygu dros amser i gymryd newidiadau sylweddol i ystyriaeth. Mae'r rhain yn cynnwys:

- Y cyngor newydd sy'n dod i mewn yn 2012 lle cytunwyd ar flaenoriaethau corfforaethol newydd a'r Cynllun Corfforaethol
- Llai o bwyslais ar gydweithio
- Materion cymhwysedd yn deillio o'r angen i roi sylw brys i weithrediadau o ddydd i ddydd yn yr adran Adnoddau Dynol - fe arweiniodd hynny at ddatblygu'r Cynllun Gwella AD
- Roedd yr Uwch Dîm Arweinyddiaeth yn credu fod angen i'r cynllun gweithredu fod yn llai o ran hyd a gyda mwy o ffocws iddo

4.5 Cyfrifoldeb y ddau uwch reolwr o'r adrannau 'gwasanaethau' a 'staff' Adnoddau Dynol yw cyflawni'r Strategaeth. Defnyddiwyd y model Nawdd Rhaglen gan y Cyfarwyddwr Corfforaethol a'r nawdd prosiect ar y 5 thema gan Benaethiaid Gwasanaeth a enwebwyd. Mae Partneriaeth fel hyn rhwng gwasanaethau a swyddogaethau cymorth corfforaethol yn hanfodol i sicrhau perchnogaeth. Mae'r model wedi bod yn gymharol lwyddiannus er bod Penaethiaid Gwasanaeth wedi ei chael hi'n anodd dod o hyd i'r cymhwysedd er mwyn gyrru'r themâu y maent yn gyfrifol amdanynt.

4.6 Mae'r rhan fwyaf o'r gweithgareddau allweddol wedi eu cyflawni. Fodd bynnag, trwy werthuso'r cynnydd yn erbyn yr amcanion a osodwyd mai'n dangos fod rhai materion angen sylw parhaus wrth ddatblygu gwaith strategol Adnoddau Dynol. Y rhain yw

- Trefniadau gwerthuso clir ar gyfer ansawdd ac effaith gwaith a rhaglenni strategol Adnoddau Dynol. *Mae enghreifftiau penodol yn cynnwys yr angen i werthuso effeithiolrwydd y systemau cymorth presennol gan Adnoddau Dynol, gan gynnwys canllawiau Adnoddau Dynol ar y Fewnwyd a'r Cynllun Hyfforddiant Corfforaethol. Bydd y gwaith hwn yn cael ei wneud fel rhan o'r Cynllun Busnes Adnoddau Dynol.*
- Yr amser y mae'n ei gymryd i gytuno ar bolisïau ac arferion gwaith newydd ac i sicrhau eu bod yn cael eu hymgorffori. *Mae enghreifftiau yn cynnwys cydymffurfio â'r polisi Cyfeiriadau a bydd yn cynnwys y Polisi Presenoldeb newydd a pholisïau / canllawiau sy'n cefnogi gwaith symudol. Mae problemau cyffredinol yma ar gyfer y Cynllun Busnes Adnoddau Dynol. Yn ogystal, bydd yr Uwch Dîm Arweinyddiaeth yn parhau i sicrhau darpariaeth effeithiol o'r Polisi Presenoldeb newydd pan gytunir arno, a bydd y Bwrdd Moderneiddio yn cynnal trosolwg o bolisïau / canllawiau sy'n ymwneud â gweithio hyblyg a gweithredu effeithiol.*

- Systemau effeithiol ar gyfer rhannu gwersi a ddysgwyd a gwneud cais i feysydd newydd o waith. *Y brif enghraifft yw ein hymdrechion i hyrwyddo'r broses o reoli newid yn effeithiol. O ystyried maint y newid a ddaw o ganlyniad i'r effeithlonrwydd, a goblygiadau posibl yr adolygiad Williams, bydd sicrhau mwy o gysondeb i newid yn effeithiol yn parhau i fod yn ffocws pwysig ar gyfer yr Uwch Dim Arweinyddiaeth.*

4.7 Mae'n amlwg y bydd angen i'r cyngor gael dadansoddiad clir o'r agenda strategol ar gyfer Adnoddau Dynol dros y cyfnod nesaf a bod gwaith yn cael ei wneud i ategu hynny. Yn amlwg, gall canlyniad yr adolygiad Williams gael dylanwad sylweddol. Mae'n llai eglur pa ddull sydd orau o reoli'r ffordd y llywodraethir y gwaith hwn. Mae'n ymddangos yn synhwyrol i oedi ac i adlewyrchu cyn gwneud penderfyniad ar hyn. Trwy gymryd eiliad i ystyried, bydd modd cwblhau'r gwaith ar y Cynllun Gwella AD a'r gwaith archwilio mewnol a gynlluniwyd ar gyfer Ebrill 2014, cwblhau gweithgareddau allweddol o fewn y Strategaeth Pobl, yn ogystal â rhywfaint o eglurhad ar y sefyllfa RLIL. Ni fydd hyn yn tynnu sylw at feysydd allweddol o waith sy'n weddill fel yr amlygwyd yn 4.6 na chwblhau cynlluniau gweithlu sy'n seiliedig ar wasanaeth sy'n cael eu datblygu'n flynyddol.

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

Cafodd y Strategaeth ei ddatblygu'n benodol er mwyn gosod yr agenda Adnoddau Dynol sy'n codi o flaenoriaethau corfforaethol y cytunwyd arnynt.

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

Nid oes canlyniadau ariannol penodol yn deillio o'r broses o gau'r Strategaeth Pobl. Mae pob gweithgaredd wedi'i wneud o fewn adnoddau sy'n bodoli eisoes a hynny fydd yr achos ar gyfer camau gweithredu sydd heb eu cwblhau eto ac unrhyw weithredoedd newydd sy'n deillio o'r ymarfer cwmpasu presennol.

7 Beth yw prif gasgliadau'r Asesiad o Effaith ar Gydraddoldeb a gwblhawyd ar gyfer y penderfyniad? Dylid cynnwys templed yr Asesiad o Effaith ar Gydraddoldeb a gwblhawyd fel atodiad i'r adroddiad.

Dim

8 Pa ymgynghoriadau a gynhaliwyd gyda'r Pwyllgorau Archwilio ac eraill?

Mae noddwyr y prosiect a'r Rheolwr Datblygu Sefydliadol wedi bod yn rhan o'r broses o lunio'r adroddiad hwn ac fe gafodd yr Aelod Arweiniol hefyd gyfle i wneud sylwadau. Ystyriwyd yr adroddiad gan y TGC ar 13 Ionawr, 2014 ac fe argymhellodd y tîm bod angen cyflwyno'r adroddiad cynnydd i'r Pwyllgor Llywodraethu Corfforaethol.

9 Datganiad y Prif Swyddog Cyllid.

Dim.

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

Mae nifer o risgiau sy'n gysylltiedig ag AD wedi eu nodi yn y Gofrestr Risg Gorfforaethol ac mae camau gweithredu yn y Strategaeth Pobl yn helpu i leihau'r risgiau hyn. Maent yn cynnwys

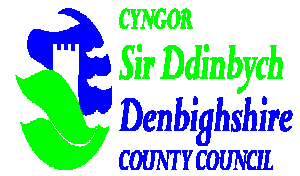
DCC004 "Y risg nad yw'r fframwaith Adnoddau Dynol yn cefnogi nodau'r sefydliad. Mae'r polisiau a'r gweithdrefnau sydd gennym yn eu lle angen adlewyrchu'r strategaeth sefydliadol gyfredol (ee gweithio hyblyg) ac mae AD angen cynnig cymorth i'r swyddogaethau hynny lle bydd y sefydliad angen ee ailstrwythuro."

Cyngor Sir Ddinbych 001 - bod â systemau cyflogaeth ddiogel effeithiol yn eu lle i helpu i leihau hynny.

DCC018 Rheoli Newid Effeithiol yn hanfodol ar gyfer cyflwyno'r rhaglen foderneiddio

11 Pŵer i wneud y Penderfyniad

Dim.



People Strategy

2011 - 2014



People Strategy

1. INTRODUCTION

We value our employees. Without them, we could not deliver the services needed by our communities. Our People Strategy has been developed to highlight how important our employees are and it identifies five themes to show how we will support them across the organisation.

The Council recognises that there is a two-way commitment and looks to all employees to buy in to the People Strategy and support the vision and values of becoming a high performing council that others aspire to match, being ready to face the challenges of the future.

This strategy supports the Corporate Improvement Plan which sets out the Council's overall aims and priorities and provides a clear framework for improvement.

The Council's vision for Denbighshire County Council is:

Denbighshire in 2025 will be the ideal place to visit, live, work, conduct business and pursue a wide range of activities.

The population will be more balanced, retaining and attracting more young people who, with the support, skills and experience of our older population, will help to sustain our communities and grow our economy.

The delivery of this is underpinned by a set of corporate values

- **Unity**

We all work for the same organisation. We as Councillors and staff should aim to reflect this in the way we behave and serve our communities

- **Pride**

We aim to create a sense of pride in working for our organisation. We should take pride in the work we do and what we achieve as an organisation.

- **Respect**

We aim to treat all people equally and with fairness, understanding that there are views and beliefs that differ from our own.

- **Integrity**

As councillors and staff we aim to manage ourselves to maximise performance, act with high standard of conduct and present a positive image for Denbighshire.

The challenges currently facing local government are considerable. This Strategy will support the review to service provision which is a key requirement of the Collaboration Agenda together with the medium term financial efficiency plan to achieve budget reductions of £20m over the next four years without having detrimental impact on direct services to the public and limiting the impact on our workforce.

The People Strategy supports the five Improvement Objectives

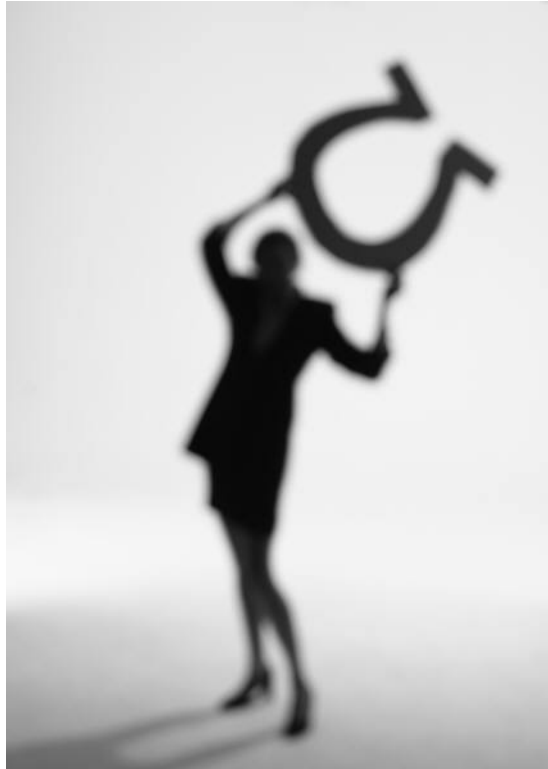
Corporate Priority	Improvement Objective
Demographic Change	Adapting service delivery to address demographic changes
Regenerating our communities	Reducing deprivation and growing Denbighshire’s economy sustainably by strategically targeting resources
Modernising Education	Modernising the education service to achieve a high level of performance across the county
Roads and Flood Defences	Securing a sustainable road network and flood defences
Improvement Themes	Improving the way the council works

The aims of the People Strategy is to ensure people employed directly or in partnership are:

- the best people for their role
- developed appropriately to meet business objectives
- involved, engaged, empowered, and recognised in supporting council priorities
- confident to deal with change and collaboration
- confident that they are operating in a safe and healthy environment

The People plan will outline how we will deliver these aims, through development of the organisation, through encouraging performance management, adopting flexible working practices and creating structures and partnerships, which enable us to continuously improve the services we provide to our customers.

People Strategy - Themes



1 Attraction and Retention of Skills and Talent - Ensuring we have the best people for the role

Devise and implement recruitment and retention strategies, which will assist the Council to attract and retain the workforce it needs to deliver its corporate and service plans.

Aims

- Be effective in recruiting and retaining high calibre employees
- Offer an attractive employment package which supports recruitment and retention and values employee contribution
- Identify and develop people with potential, providing opportunities for career development as appropriate.



2 Workforce Development - Ensuring we develop people appropriately to deliver business objectives

To develop the skills and capacity of the workforce, so the Council possesses the right skills to deliver corporate and service plans and so that performance is increased and savings achieved through improved business processes

Aims

- Develop the skills of our workforce to meet current and future needs
- Develop Leaders and Managers who are confident and competent to be accountable for their service area, through effective management of performance.
- To ensure leadership development supports the economic and political climate



3 Employee Engagement - unlocking people's potential at work

Promoting a culture of engagement and recognition, gaining commitment, energy and desire to do a good job.

Aims

- Develop a culture of engagement and recognition through improved communication, consultation and involvement
- Empowered to make decisions at the most effective point possible to the service user
- Build organisational confidence by celebrating success



4 Managing Change

Having a resilient, flexible adaptable workforce, open to change & improving ways of working

Aims

- Develop organisational confidence to deal with change so that managers are confident and competent in being able to lead and manage change effectively
- Promote a culture of flexibility where employees and teams understand and participate in organisation change
- Consistently manage change effectively
- Empower more innovative and creating solutions to service delivery



5. Healthy Workforce

Creating a safe and healthy working environment.

Aims

- Develop a culture of wellbeing & resilience
- To provide work life balance initiatives to create a flexible and motivated workforce.

Delivering, Monitoring and Evaluating the Strategy

The key themes and objectives of the People Strategy have been developed into an action plan which will be delivered through the Progress Through People Workstreams.

The action plan will support each of the key themes within the strategy and will link into the HR Business Plan which will be reviewed on a quarterly basis through our Corporate Performance Management.

In measuring our performance against the People Strategy, we will use a combination of Statutory and local indicators.

Progress on the delivery of the action plan will be through regular Workstream Reports to the Business Transformation Board from the Progress through People work group and monitoring by the Senior Leadership Team on a 6 monthly basis.

The People Strategy will be formally reviewed on an annual basis in line with the Business Planning timetable. The Strategy, together with its action plans will be “living” documents which will be adapted and developed alongside the Council’s Improvement Plan.

Mae tudalen hwn yn fwriadol wag

YEAR 3 - PEOPLE STRATEGY ACTION PLAN – 2013/2014- Progress at December 2013

1 Attraction and Retention of Skills and Talent- Ensuring we have the best people for the role PROJECT SPONSOR: GRAHAM BOASE					
AIMS	ACTIONS	SUPPORTED BY	Progress at December13	START DATE	END DATE
<p>◆ Be effective in recruiting and retaining high calibre employees</p> <p>◆ Offer an attractive employment package which supports recruitment and retention and values employee contribution.</p> <p>◆ Identify and develop people with potential</p> <p>◆ Provide opportunities to develop</p>	<p>1. Launch of Recruitment and Selection Policy</p> <ul style="list-style-type: none"> ◆ Reformatting of policy for intranet access ◆ Power hours on recruitment and selection ◆ Communication Plan 	A Mallam	<ul style="list-style-type: none"> ◆ Policy formatted for intranet access ◆ Power hours provided ◆ Implementation strategy agreed with individual services and rollout tailored to their needs ◆ Unclear how thoroughly embedded the new policy and arrangements are but more assessment centres being held, more evidence of selection to meet required skills, of coaching to meet developmental needs identified at selection (and of unsuccessful candidates) 	<p>◆ May 2013</p>	<p>◆ July 2013</p>
	<p>2. Development of Safeguarding Policy</p> <ul style="list-style-type: none"> ◆ Reformatting of policy for intranet access ◆ Factsheet on assessing the requirements against the agreed criteria. ◆ Include new DBS arrangements ◆ Power hours to brief managers who are responsible for safeguarding about how to assess the roles ◆ Communication Plan 	A Mallam E Safhill	<ul style="list-style-type: none"> ◆ Policy going to LJCC in February 14 and formatted for intranet access ◆ Factsheet created, including DBS arrangements <p>◆ Heads of Service have been given reports identifying roles previously requiring CRB/DBS, info on the criteria now in force, and HR support to implement new arrangements</p>	<p>◆ April 13</p> <p>◆ May 13</p> <p>◆ June 13</p>	<p>◆ Sept 13</p> <p>◆ June 13</p> <p>◆ Sep 13</p>

Tudalen 123

<p>careers</p>	<p>3. Delivery of HR Safeguarding Action Plan</p> <ul style="list-style-type: none"> ◆ New starter check lists and exception reporting to ensure that CRB checks and references are received prior to commencement. ◆ Develop and agree reports to be run on a quarterly basis ◆ Use of UDF by Schools to monitor their own 	<p>E Safhill R Marsh</p>	<ul style="list-style-type: none"> ◆ Procedures are in place and reports are being run ◆ Reports indicate that compliance rates for ensuring DBS checks are in place and recorded on Trent is generally good ◆ Compliance rates with ensuring references were taken up in a timely way and recorded on Trent still needed improvement- November 2013 ◆ Revised flowcharts, clearly defining roles and responsibilities, have been developed for use in the council and school settings ◆ Compliance rates need regular monitoring to ensure these measures have resolved the problem 	<p>◆April 13</p>	<p>◆July 13</p>
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2	<p align="center">Workforce development- ensuring we develop people appropriately to deliver business objectives</p> <p align="center">PROJECT SPONSOR: PHIL GILROY</p>				
AIMS	ACTIONS	SUPPORTED BY	PROGRESS AT 12/13	START DATE	END DATE

<ul style="list-style-type: none"> ◆ Develop the skills and capacity of our workforce to meet current and future needs ◆ Develop Leaders and Managers who are confident and competent to be accountable for their service area, through effective management of performance. ◆ To ensure leadership development supports the economic and political climate 	<ol style="list-style-type: none"> 1. Prioritise corporate training plan, power hours, management training linked to embedding processes associated with HR Improvement project, customer focus training and change management support. 2. Develop dynamic opportunities to share learning and lessons learned promoting best practise. 3. Capture learning activity and current learning through videos, u-tube, pod cast, and use of intranet and e-learning 4. Progress the Workforce Information Processes and Systems project so that managers and HR are able to make appropriate workforce 	<p>SLT</p> <p>Middle Managers</p> <p>G Humphreys J Rees</p>	<p>Corporate training plan has prioritised leadership and management training, power hours, customer services, coaching and training linked to change management. Some of this has been developed and delivered as "courses" (eg ILM, "Manage the people; manage the change"), some is bespoke. We do not currently have information about the numbers of people who have benefitted from this training, or information about post training impact (eg greater use of HR Intranet pages, or managers' assessment of improved skills). Also see 2.8 below.</p> <p>Business partners are beginning to pick up management and other training needs/gaps.</p> <p>A number of approaches have been tried eg Action Learning Sets/Practice Learning Communities- but these have met with limited success, mainly due to difficulties involved in releasing people to take part. Video clips also experimented with. Informal links is the current method of sharing learning and this could potentially be developed at other management levels eg MMC. Management mentors/"learning lessons" sessions (including linked to full use of project management materials) are further possibilities</p> <p>There has been a hold-up with purchasing learning pool- but this is in the process of resolution- with initial priorities for use being Equalities, Fol and DP. Has potential for use in other areas. Networking being established with Wrexham and Gwynedd who also have learning pool and should enable us to access other products/modules</p> <p>All data cleansing has been completed. A Working Group has identified the information reports required by services and the creation of these</p>	<p>Sept 2013</p>	<p>April 2014</p>
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	<p>decisions and identify hot spots through dashboard reporting from accurate information.</p> <p>5. Implement the HR Quality Assurance Framework and monitor via the Service Challenge Process.</p> <p>i) Include Peer Review of Appraisals undertaken.</p> <p>ii) Arrange to meet with managers and draw up action plan and criteria.</p> <p>iii) Provide Corporate QA report for SLT and CET to inform future Business Planning and share with workforce (link with Staff Survey)</p> <p>6 Delivery of service priorities identified in 2013/14 Workforce Plan.</p> <p>7. Produce Workforce Plan for 2014/5 incorporating Corporate Training Plan from Appraisal</p>	<p>P McGrady Kerry Evans R Marsh</p> <p>Janet Oliver</p> <p>SLT G Humphr</p>	<p>reports is underway, to be incorporated in the HR dashboard.</p> <p>The proposed information dashboard will give HoS information about key HR issues in their service eg the number of ER cases, disciplinary, grievance, performance appraisals and quality- which can then enable detailed discussion with BPs. However, these arrangements do not enable quality assurance of the HR service itself to be assessed though IA will be undertaking a comprehensive audit against the HR improvement plan in April, which will include compliance against Standard Operating Procedures. Business Partners are individually seeking feedback on their interventions and the effectiveness of them.</p> <p>In process. 10% dip sampling being undertaken as peer exercise HoS to HoS. Intended that this information be included in Service challenge papers but not included hitherto as not considered sufficiently robust.</p> <p>Needs to be picked up with SLT/CET April 14</p> <p>Ongoing with BPs</p> <p>OD Manager and BPs meeting to identify themes for 14/15 and looking to compare BP resource utilisation against predictions.</p>	<p>January 2013</p> <p>June 2013</p> <p>April 13</p> <p>Oct 2013</p>	<p>June 2015</p> <p>April 2014</p> <p>March 14</p> <p>Feb 2014</p>
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	<p>8. Evaluation of Corporate Training Plan</p>	<p>ey BP's</p> <p>SLT G Humphr ey BP's</p>	<p>Technically not due til next year. Proposed methods have been pre and post training evaluation- but take-up has been low, so this needs to be picked up now or we will not have useful information about what/did not work and the impact training has had</p>	<p>April 2014</p>	<p>June 2014</p>
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3. Employee engagement- promoting a culture of engagement and recognition
PROJECT SPONSOR: STEVE PARKER

AIMS	ACTIONS	SUPPORTED BY	PROGRESS AT 12/13	START DATE	END DATE
<p>◆ Develop a culture of engagement and recognition through improved communication, consultation and involvement</p> <p>◆ Empowered to make decisions at the most effective point possible to the service user</p> <p>◆ Build organisational confidence by celebrating success</p>	<ol style="list-style-type: none"> Plan and Communicate the results of the Staff Survey undertaken in February 2013. Agree methodology for Staff Survey Action Plans and workshops. Ensure QA Report forms part of this. See 2.5.iii above. Implement the HR Improvement Plan and evaluate Standard Operating Procedures 	<p>SLT</p> <p>SLT</p> <p>SLT C Roberts</p>	<p>Communication undertaken and action planning taken forward, though agreed this would not be to a set format as was required previously. Responses to staff survey results are being picked up in Service Challenges. Where there are gaps in information, the Project Sponsor has undertaken to check that HoS are responding appropriately to findings (December 2013)</p> <p>Implementation nearing completion, with IA audit planned for April. Completion date may need to be adjusted to take into account recent automations. Next planned priority is the improvement of customer service, especially with the HRA group.</p>	<p>June 2013</p> <p>May 2013</p> <p>April 2013</p>	<p>July 2013</p> <p>Dec 2013</p> <p>Dec 2013</p>

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<ul style="list-style-type: none"> ◆ Consistently manage change effectively ◆ Empower more innovative and creating solutions to service delivery 	<ul style="list-style-type: none"> b. Coaching and support from Business Partners and Managers c. Sharing of expertise and experiences d. Training which gives dynamic experiential learning <p>5. Progress the Flexible/ Agile/Homeworking Project as part of the Modernisation Programme.</p> <ul style="list-style-type: none"> a. Produce Statement of Intent b. Ensure HR Policy alignment with new ways of working, reviewing the following policies <ul style="list-style-type: none"> i. Homeworking ii. Flexible Working Policy iii. Mobility clauses iv. Flexi Policy v. Travel and Subsistence vi. Health & Safety vii. Data Protection viii. Information Security 	<p>L Atkin G Humphreys C Williams</p> <p>SLT G Humphreys S Vaughan</p>	<p>delivered eg in Housing, as part of modernisation programme</p> <p>Some evidence that coaching and mentoring are working but needs clearer evaluation, including the outcomes delivered and resource entailed compared with other approaches</p> <p>Second cohort of Hwb secondees in place from January 2014</p> <p>Flexible working Policy Statement developed for consultation in January/February 2014 and sign off by SLT March 2014.</p> <p>Detailed topic guidance to be put together by January 2014</p>	<p>September 2013</p>	<p>June 2015</p>
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	<p>ix. Lone Working Policy</p> <p>6. Scope out and introduce Job Families for delivery through the Modernising Programme</p>		<p>Modernisation Board decided not to progress as a corporate project- could not identify clear scope despite several attempts. However, development of generic job descriptions in a number of services has enabled a widening of staff experience and provided greater resilience (eg Customer Services and Education, Highways/Environment/ CML). May be worth reconsidering "job families" and how the successful implementation of generic job descriptions could be learnt from and applied more widely</p>		
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5. Healthy Workforce – Creating a safe and healthy working environment

PROJECT SPONSOR : JAMIE GROVES

AIMS	ACTIONS	SUPPORTED BY	PROGRESS 12/13	START DATE	END DATE
<ul style="list-style-type: none"> ◆ Develop a culture of wellbeing & resilience ◆ To provide work life balance initiatives to create a flexible and motivated workforce. ◆ Continue to reduce incidents of absence 	<p>7. Progress the Absence Management project.</p> <ul style="list-style-type: none"> a. Develop and implement new Absence Management Policy b. Support managers to utilise the new Absence Management Dashboard c. Continue to hold workshops to gain greater understanding of causes of stress d. Develop power hours and dynamic training solutions to embed new Absence Policy. e. Evaluate the effectiveness of the new absence management interventions and utilisation of tools. 	<p>J Groves L Rees J Worrall R Marsh</p> <p style="text-align: center;">SLT J Worrall</p>	<p>New Attendance Policy and procedures to be finalised pre Christmas for ratification by Corporate Joint Committee and Council January/February 2014. Guidance sheets to be developed post Christmas</p> <p>Substantial preparatory work undertaken with unions and members. Also with schools.</p> <p>Meeting with HoS January to March 2014 to agree savings linked to revised policies. Outstanding work to ensure OH service is aligned with new policy</p>	<p>Sept 12</p> <p>April 2014</p>	<p>Page 12 Sept 13</p> <p>May 2014</p>

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Rhaglen Gwaith i'r Dyfodol Pwyllgor Llywodraethu Corfforaethol

26 Mawrth 14		Eitemau Sefydlog		
	1	Materion a Gyfeiriwyd gan Bwyllgorau Archwilio	Cydlynnydd Archwilio, Rhian Evans	
	2	Adroddiadau Rheoleiddio Allanol Diweddar a Dderbyniwyd	Gwella Corfforaethol, Alan Smith / Craig Berry Cyng. Barbara Smith	
	3	Adroddiad Cynnydd Archwilio Mewnol	Pennaeth y Gwasanaethau Archwilio Mewnol, Ivan Butler / Cyng. Julian Thompson-Hill	
	4	Adborth ar Gyfarfod Cydraddoldeb Corfforaethol - adroddiad ar lafar	Cynghorydd Martyn Holland Cyng. Hugh Evans	
Tudalen 135		Adroddiadau		
	5	Cynllun Sicrwydd Adain Archwilio Mewnol 2014/15	Pennaeth y Gwasanaethau Archwilio Mewnol, Ivan Butler / Cyng. Julian Thompson-Hill	
	6	Caffael Gwasanaethau Adeiladu – Diweddariad	Pennaeth y Gwasanaethau Archwilio Mewnol, Ivan Butler	
	7	Cyflwyniad – Aelodau Syn Gynrychiolwyr ar Gyrrff Allanol	Pennaeth Gwasanaethau Cyfreithiol a Democrataidd / Gary Williams / Cyng Barbara Smith	
21 Mai 2014		Eitemau Sefydlog		
	1	Materion a Gyfeiriwyd gan Bwyllgorau Archwilio	Cydlynnydd Archwilio, Rhian Evans	
	2	Adroddiadau Rheoleiddio Allanol Diweddar a Dderbyniwyd	Gwella Corfforaethol, Alan Smith / Craig Berry	

Rhaglen Gwaith i'r Dyfodol Pwyllgor Llywodraethu Corfforaethol

			Cyng. Barbara Smith	
	3	Adroddiad Cynnydd Archwilio Mewnol	Pennaeth y Gwasanaethau Archwilio Mewnol, Ivan Butler / Cyng Julian Thompson-Hill	
	4	Adborth ar Gyfarfod Cydraddoldeb Corfforaethol - adroddiad ar lafar	Y Cyngorydd Martyn Holland/ Cyng. Hugh Evans	
		Adroddiadau		
Tudalen 136	5	Cynllun Gweithredu Fframwaith Llywodraethu Corfforaethol	Pennaeth y Gwasanaethau Archwilio Mewnol, Ivan Butler / Cyng. Julian Thompson-Hill	
	6	Adroddiad Blynyddol Archwilio Mewnol 2013/14		
	7	Adroddiad Archwilio Mewnol Adnoddau Dynol Strategol - Diweddariad		

DS Nid yw union ddyddiad cyhoeddi adroddiadau achlysurol gan, er enghraifft Swyddfa Archwilio Cymru neu Adroddiadau Blynyddol gan yr Ombwdsmon yn hysbys ar hyn o bryd. Bydd dyddiad cyfarfod yn cael ei bennu cyn gynted ag y bo'n ymarferol.

Yn rhinwedd Paragraff(au) 14 Rhan 4, Atodlen 12A
Deddf Llywodraeth Leol 1972.

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