

At: Aelodau'r Pwyllgor Llywodraethu  
Corfforaethol

Dyddiad: Dydd Mawrth, 24  
Mehefin 2014

Rhif Union: 01824712575

ebost: dcc\_admin@denbighshire.gov.uk

Annwyl Gynghorydd

Fe'ch gwahoddir i fynychu cyfarfod y **PWYLLGOR LLYWODRAETHU CORFFORAETHOL, DYDD MERCHER, 2 GORFFENNAF 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 – ESTYNNIR GWAHODDIAD I'R WASG A'R CYHOEDD FYNYCHU'R RHAN HON O'R CYFARFOD

#### 1 YMDDIHEURIADAU

#### 2 DATGAN CYSYLLTIAD

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

#### 3 MATERION BRYD

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

- 4 COFNODION** (Tudalennau 5 - 14)  
Derbyn cofnodion cyfarfod y Pwyllgor Llywodraethu Corfforaethol a gynhaliwyd ar 21 Mai, 2014.
- 5 PROSES Y GYLLIDEB 2015/16** (Tudalennau 15 - 18)  
Ystyried adroddiad ac Atodiad Cynrinachhol gan y Pennaeth Cyllid ac Asedau (copi wedi'i amgáu) sy'n rhoi diweddariad ar y broses i gyflawni'r gyllideb refeniw ar gyfer 2015/16.
- 6 DATGANIAD O GYFRIFON DRAFFT** (Tudalennau 19 - 20)  
Ystyried adroddiad gan y Pennaeth Cyllid ac Asedau (copi wedi'i amgáu) ar y Datganiad o Gyfrifon (copi i ddilyn).
- 7 ADRODDIAD GWELLA BLYNYDDOL SWYDDFA ARCHWILIO CYMRU - 2013/14** (Tudalennau 21 - 58)  
Ystyried adroddiad gan y Pennaeth Busnes, Gwella a Moderneiddio (copi wedi'i amgáu) ar asesiad blynyddol o rhagolygon y Cyngor ar gyfer gwella, a gynhaliwyd gan Swyddfa Archwilio Cymru.
- 8 ADOLYGIAD COFRESTR RISG CORFFORAETHOL** (Tudalennau 59 - 74)  
Ystyried adroddiad gan y Pennaeth Busnes, Gwella a Moderneiddio (copi wedi'i amgáu) sy'n darparu fersiwn ddiweddaraf y Gofrestr Risg Corfforaethol, fel y cytunwyd yn Y Briffio Cabinet.
- 9 CYNLLUN GWELLA LLYWODRAETHU** (Tudalennau 75 - 86)  
Ystyried adroddiad gan y Pennaeth Archwilio Mewnol (copi wedi'i amgáu) sy'n rhoi diweddariad mewn perthynas â'r Cynllun Gwella Llywodraethu.
- 10 YSGOL UWCHRADD Y BENDIGAID EDWARD JONES RC - DIWEDDARIAD** (Tudalennau 87 - 100)  
Ystyried adroddiad gan y Pennaeth Archwilio Mewnol (copi wedi'i amgáu) sy'n rhoi diweddariad mewn perthynas ag Ysgol Uwchradd y Bendigaidd Edward Jones RC.
- 11 RHAGLEN WAITH Y PWYLLGOR LLYWODRAETHU CORFFORAETHOL** (Tudalennau 101 - 106)  
Ystyried rhaglen gwaith i'r dyfodol y pwyllgor (copi wedi'i amgáu).

## **AELODAETH**

### **Y Cynghorwyr**

Joan Butterfield  
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, 21 Mai 2014 am 9.30 am.

### YN BRESENNOL

Y Cynghorwyr Joan Butterfield, Peter Duffy, Martyn Holland, Gwyneth Kensler (Is-Gadeirydd) a/ac Jason McLellan (Cadeirydd) a Mr P. Whitham (Aelod Lleyg).  
Roedd y Cynghorwyr M.L. Davies a J. Thompson-Hill yn bresennol fel arsylwyr.

### HEFYD YN BRESENNOL

Pennaeth Gwasanaethau Cyfreithiol a Democrataidd (GW), Pennaeth Archwilio Mewnol (IB), Pennaeth Busnes, Cynllunio a Pherfformiad (AS), Prif Gyfrifydd (RW), Rheolwr Eiddo (DL), Rheolwr y Tîm Cyfleusterau a Chynnal a Chadw (IT), Cynrychiolwyr Swyddfa Archwilio Cymru (AV a GB) a Gweinyddydd y Pwyllgor (CIW).

#### 1 PENODI CADEIRYDD

*PENDERFYNWYD – penodi'r Cynghorydd J.M. McLellan yn Gadeirydd y Pwyllgor Llywodraethu Corfforaethol ar gyfer y flwyddyn nesaf.*

#### 2 PENODI IS-GADEIRYDD

*PENDERFYNWYD – penodi'r Cynghorydd M.L. Holland yn Is-gadeirydd y Pwyllgor Llywodraethu Corfforaethol ar gyfer y flwyddyn nesaf.*

#### 3 YMDDIHEURIADAU

Derbyniwyd ymddiheuriadau am absenoldeb oddi wrth y Cynghorwr(wyr) Stuart Davies

#### 4 DATGAN CYSYLLTIAD

Ni wnaeth yr un Aelod ddatgan gysylltiad personol na niweidiol mewn unrhyw fusnes y nodir ei fod i gael ei ystyried yn y cyfarfod hwn.

#### 5 MATERION BRYD

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

#### 6 COFNODION

Cofnodion cyfarfod o'r Pwyllgor Llywodraethu Corfforaethol a gynhaliwyd ar 15<sup>fed</sup> Ebrill, 2014.

Cywirdeb:- Nodwyd bod Mr P. Whitham, Aelod Lleyg yn bresennol yn y cyfarfod o'r Pwyllgor Llywodraethu Corfforaethol a gynhaliwyd ar 15<sup>fed</sup> Ebrill, 2014.

Materion yn codi:-

11. Cynrychiolwyr yr Aelodau ar Gyrrff Allanol – Mewn ymateb i gais gan y Cynghorydd M.L. Holland, cytunodd Pennaeth y Gwasanaethau Cyfreithiol a Democrataidd i gylchredeg copiâu o'r dogfennau oedd yn ymwneud â chyflwyniad ynglŷn â Chyrrff Allanol a gynhaliwyd yng Nghaledfryn, Dinbych.

**PENDERFYNWYD** – *derbyn a chymeradwyo'r cofnodion fel cofnod gwir a chywir, yn amodol ar yr uchod.*

## **7 ADOLYGIAD O GAFFAEL – GWAITH CYNNAL A CHADW ADEILADAU YSGOLION**

Roedd adroddiad gan Swyddfa Archwilio Cymru (SAC), ar yr adolygiad o gaffael ar gyfer Gwaith Cynnal a Chadw Adeiladau ysgolion wedi'i gylchredeg yn flaenorol.

Cyflwynodd cynrychiolydd SAC (CSAC) yr adroddiad, Atodiad 1, a ofynnai am roi ystyriaeth i'r argymhellion ac am ymatebion gan y Cyngor. Tynnwyd sylw'r Aelodau at y crynodeb o'r adroddiad, tudalen 22, a roddai fanylion pwrpas y gwaith a wnaed ar ôl cael gohebiaeth gan gontractwr ynglŷn â materion penodol o safbwynt y trefniadau caffael ar gyfer gwaith cynnal a chadw adeiladau ysgolion, ac agweddu ehangach ar y drefn gaffael yn benodol o safbwynt contractau adeiladu. Rhoddodd CSAC grynodeb o gasgliadau'r adroddiad i'r Pwyllgor.

Yn ystod y drafodaeth ddilynol, codwyd y cwestiynau a'r ystyriaethau canlynol, a chafodd ymatebion eu darparu:-

- Rhoddodd y Rheolwr Eiddo (RhE) fanylion ynglŷn â nifer y Contractwyr sydd ar y Rhestr Gymeradwy, y meini prawf a'r broses ar gyfer cynnwys Contractwyr ar y Rhestr hon, gofynion yr holiadur cyn gymhwyso a'r broses ar gyfer tynnu Contractwyr oddi ar y Rhestr a'u hadfer i'r rhestr.
- Cyfeiriwyd at bwysigrwydd yr adborth a geir gan ysgolion am safon y gwaith a wna'r contractwyr, a'r posibilrwydd o wneud archwiliadau dirybudd i archwilio'r gwaith a wnaed.
- Rhoddodd Pennaeth y Gwasanaethau Cyfreithiol a Democrataidd (PGCD) fanylion y goblygiadau cyfreithiol o safbwynt atebolrwydd cyhoeddus, a'r cosbau y gellid eu rhoi, os bydd gweithwyr y Cyngor neu Gontractwyr yn torri neu'n anwybyddu rheolau a rheoliadau statudol wrth wneud gwaith. Pwysleisiwyd yr angen i sefydlu'r drefn a'i rheoli'n ddigonol. Pwysleisiodd y RhE bwysigrwydd adrodd am unrhyw achosion o dorri rheolau a rheoliadau, megis Rheoliadau lechyd a Diogelwch, er mwyn sicrhau y gellid rhoi'r cosbau priodol a dileu'r risgiau.
- Sicraodd y RhE y Pwyllgor y byddai'r fframwaith ar gyfer hysbysebu am Gontractwyr i'w cynnwys ar y Rhestr Gymeradwy'n cael ei adolygu ar ôl penderfynu pa feysydd fyddai'n cael eu cynnwys.
- Cyfeiriodd CSAC at y sylwadau a wnaed o safbwynt yr angen i wella'r drefn rheoli ansawdd, o safbwynt prisio, a chyfathrebu a hefyd at bennu, dyrannu a monitro gwaith sy'n rhan o'r broses. Pwysleisiodd y Cynghorydd J. Butterfield

bwysigrwydd rhoi cefnogaeth i gymunedau lleol yn Sir Ddinbych wrth lunio'r rhestr gymeradwy.

- Cododd Mr P. Whitham y ffaith nad oedd dim tystiolaeth o'r defnydd presennol o gydgrynhoi, a chadarnhaodd CSAC y gallai hyn beri risg bosibl i'r Cyngor ond na chafodd ei ystyried fel rhan o'r adolygiad cwmpasu a oedd yn benodol iawn. Teimlai Mr Whitham y byddai rhoi ffrâm amser ar gyfer cyflwyno'r fframwaith yn hanfodol i'r Contractwyr priodol.
- Cyfeiriodd Mr Whitham at baragraff 25 ar dudalen 26 ac awgrymodd y dylai'r cyfeiriad at "drefniadau ar lefel leol i swyddogion ddatgan, rheoli a monitro perthnasoedd rhwng swyddogion y Cyngor a chontractwyr" hefyd gynnwys rhoddion a lletygarwch.
- Ymatebodd y RhE i gwestiwn gan Mr Whitham gan gadarnhau "o safbwynt disgwyliadau cleientiaid y byddai'r cyflenwad gwasanaethau'n cael ei adfer cyn gynted â phosib", tudalen 26, roedd pob cais yn cael ei drin fel gwaith adweithiol ac nid fel argyfwng.
- Cadarnhaodd y RhE y gellid defnyddio'r contractwyr a ffafrir gan ysgolion os oeddent ar y Rhestr Gymeradwy.
- Mynegodd y Cyngorydd P.C. Duffy bryderon nad oedd amcanbrisiau na dyfynbrisiau'n ofynnol am waith dan symiau penodol. Esboniodd y RhE fod y symiau wedi'u dynodi yn y rheolau caffael.
- Rhoddodd CSAC gadarnhad y byddai Adroddiad yr Adolygiad o Gaffael – Gwaith Cynnal a Chadw Adeiladau Ysgolion ar gael yn Gymraeg.
- Esboniwyd y byddai prisio contractau gyda'r nod o sicrhau gwasanaethau contractwyr lleol yn dibynnu'n bennaf ar bris ac ansawdd, gwerth gorau drwy faint gwaith a'r gallu i arddangos gwerth da am arian.
- Cytunodd y Pennaeth Archwilio Mewnol (PAM) a CSAC i gysylltu a chyflwyno adroddiad cynnydd dilynol ar y cyd gerbron cyfarfod 3<sup>ydd</sup> Medi, 2014 o'r Pwyllgor. Byddai'r adroddiad yn cynnwys ymateb y Cyngor i'r argymhellion a manylion y dyddiadau gweithredu.

Ar ôl trafod ymhellach:-

**PENDERFYNWYD** – *bod y Pwyllgor Llywodraethu Corfforaethol:-*

- (a) *yn derbyn yr adroddiad ac yn nodi'r argymhellion ynghyd ag ymatebion y Cyngor, ac*
- (b) *yn cytuno bod y Pennaeth Archwilio Mewnol a Swyddfa Archwilio Cymru yn cyflwyno adroddiad ar y cyd gerbron cyfarfod 3<sup>ydd</sup> Medi, 2014 o'r Pwyllgor. Byddai'r adroddiad yn cynnwys ymateb y Cyngor i'r argymhellion a manylion y dyddiadau gweithredu*

## **8 DEDDF DIOGELU DATA**

Roedd adroddiad gan y Pennaeth Busnes, Gwella a Moderneiddio (PBGM) wedi'i gylchredeg yn flaenorol.

Cyflwynodd y PBGM yr adroddiad oedd yn rhoi sylw i'r cyfnod o Ebrill, 2013 i Fawrth, 2014 a rhoddodd fanylion achosion o'r Cyngor yn torri'r Ddeddf Diogelu Data, achosion y bu'r Uwch Swyddog Risg Gwybodaeth yn ymchwilio iddynt. Cynhwysai hefyd gwynion am y Cyngor o safbwynt y ddeddfwriaeth Rhyddid

Gwybodaeth a gyfeiriwyd at y Comisiynydd Gwybodaeth, a darparai rhyw gymaint o wybodaeth am y ceisiadau Mynediad at Wybodaeth a wnaed i'r Cyngor. Dan Bolisi Diogelu Data'r Cyngor mae'n rhaid cyflwyno adroddiad cynnydd blynyddol gerbron y Pwyllgor Llywodraethu Corfforaethol er mwyn i'r Aelodau gadw golwg ar y broses.

Bu'r diffygion yn y system rheoli gwybodaeth yn risg ers blynyddoedd lawer ac roedd dull newydd wedi'i gyflwyno, gan gynnwys penodi Rheolwr Gwybodaeth Gorfforaethol ac adolygu polisiau allweddol, yn ymwneud yn benodol â Diogelu Data a Mynediad at Wybodaeth. Ar ôl yr adolygiadau, roedd y Rheolwr Gwybodaeth Gorfforaethol wedi cyhoeddi dull rheoli gwybodaeth strategol yn Sir Ddinbych a byddai'n adrodd ar y cynnydd gerbron y Pwyllgor yn rheolaidd.

Esboniodd y PBGM fod y datblygiadau wedi lleihau'r risgiau i'r Cyngor a bod y sgôr risg ar y Gofrestr Risg Gorfforaethol yn awr wedi'i lleihau. Yn allweddol i'r gwelliannau yr oedd datblygu gwell hyfforddiant, gwell eglurder ar ddefnyddio systemau, a thrylwyrdd wrth adrodd a rheoli gwybodaeth. Ochr yn ochr â'r Swyddog Diogelu Data, roedd gan yr Uwch-berchennog Risg Gwybodaeth (UbRG) gyfrifoldeb penodol i sicrhau bod gwybodaeth a ddelir gan y Cyngor yn cael ei rheoli'n ddiogel, yn effeithiol ac yn unol â'r ddeddfwriaeth. Roedd y systemau a wnaed i sicrhau bod y rolau'n cael eu cyflawni'n llwyddiannus yn ddibynnol ar fod yn dryloyw ac agored, ac roedd yn bwysig dros ben bod yr Aelodau'n cadw golwg ar y broses.

Ffurfiar adroddiad ran o'r ymrwymadau a wnaed ym mholisi Diogelu Data a pholisi Mynediad at Wybodaeth y Cyngor. Rhoddai'r atodiadau fanylion rhai o'r camau gweithredu allweddol dros y flwyddyn hyd at 31<sup>ain</sup> Mawrth 2014, gan ganolbwyntio ar yr achosion o dorri'r amodau Diogelu Data yr adroddwyd amdanynt wrth yr UbRG (Atodiad A). Cynhwyswyd gwybodaeth arall i hysbysu'r Aelodau: rhestr o'r cwynion a wnaed i Swyddfa'r Comisiynydd Gwybodaeth (SCG) am y Cyngor, a'r canlyniad (Atodiad B); ystadegau'n ymwneud â derbyn ceisiadau Mynediad at Wybodaeth (Atodiad C) ynghyd â thabl yn dangos yr anghydfodau y bu'r Panel Mynediad at Wybodaeth yn delio â nhw, a'r canlyniadau (Atodiad D).

Ni oedd dim un o'r achosion o'r Cyngor yn torri'r Ddeddf Diogelu Data yn achosion sylweddol, er yr ystyriwyd bod rhai yn ddigon difrifol i adrodd amdanynt wrth yr SCG. Un nodwedd gyffredin oedd rhoi cyfeiriadau anghywir ar lythyron, fel bod gwybodaeth bersonol yn mynd at y derbynnydd anghywir. Gallai hyfforddiant a gwell trefn wirio helpu i leihau'r camgymeriadau hyn ac, yn y pendraw, byddai defnyddio systemau awtomatig fwyfwy yn lleihau hyn ymhellach. Roedd y Cyngor cyn belled wedi osgoi colli llawer o wybodaeth bersonol, rhywbeth oedd wedi digwydd i lawer o sefydliadau, gan arwain at gosbau sifil sylweddol yn aml. Er hynny, yr unigolion yr aeth eu data ar goll neu y datgelwyd eu data mewn camgymeriad oedd wedi dioddef y caledi mwyaf. Wrth i'r ymwybyddiaeth ymysg staff gynyddu a'r systemau ar gyfer rheoli gwybodaeth wella'n raddol, byddai'r achosion hyn yn dod yn llai cyffredin.

Roedd manylion nifer y ceisiadau Mynediad at Wybodaeth a ddaeth i law'r Cyngor wedi'u cynnwys yn yr adroddiad. Roedd manylion y pum maes yr ymholwyd amdanynt amlaf dros y misoedd diwethaf hefyd wedi'u cynnwys yn yr adroddiad, a



manylai Atodiad D am ffynonellau'r ceisiadau Mynediad at Wybodaeth i'r Cyngor yn ôl y math o ymgeisydd.

Mewn rhai achosion, câi penderfyniadau am fynediad at wybodaeth eu herio gan yr ymgeisydd neu ni chaed cytundeb yn fewnol ynglŷn ag a ddylid rhyddhau gwybodaeth a ddelir gan y Cyngor ai peidio. Adolygwyd yr achosion hyn gan Banel; wedi'i gadeirio gan y PGCD, ac roedd rhestr o'r achosion a adolygwyd ynghyd â'r canlyniadau wedi'u cynnwys yn Atodiad E.

Esboniodd Mr P. Whitham ei fod yn siomedig nad oedd materion a godwyd yn yr Hyfforddiant Mynediad at Wybodaeth yn Chwefror, megis rheoli a rhagweithio i atal a lleihau'r ceisiadau a ddaw i law, wedi'u hadlewyrchu yn yr adroddiad. Esboniodd y PBGM fod yr adroddiad yn ymwneud â gweithgaredd ac yn osgoi dyblygu gwaith a wnaed gan y Rheolwr Gwybodaeth Gorfforaethol. Byddai'r adroddiad y byddai e'n ei gyflwyno gerbron y Pwyllgor yn rhoi sylw i'r materion a godwyd. Cadarnhaodd fod y cynllun cyhoeddi a'r cofnod datgelu yn cael eu bwrw ymlaen. Amlinellodd y PGCD yr angen i ganfod maint a natur y wybodaeth y gellid ei rhyddhau i'r cyhoedd er mwyn ymateb yn agored ac yn dryloyw i geisiadau a ddaw i law gan y cyhoedd.

Ymatebodd y PGCD i bryderon a godwyd a rhoddodd fanylion y gwasanaeth cyfieithu a ddarparwyd drwy Gyngor Bwrdeistref Sirol Conwy.

**PENDERFYNWYD** – *bod y Pwyllgor Llywodraethu Corfforaethol yn derbyn ac yn nodi cynnwys yr adroddiad.*

## **9 ADRODDIAD ARCHWILIO MEWNOL BLYNYDDOL 2013/14**

Roedd adroddiad gan y Pennaeth Archwilio Mewnol (PAM) a gynhwysai farn gyffredinol y PAM ar ba mor ddigonol ac effeithiol fu fframwaith llywodraethu, risg a rheolaeth y Cyngor yn ystod y flwyddyn ac sy'n hysbysu'r 'datganiad llywodraethu blynyddol' wedi'i gylchredeg yn flaenorol.

Dan Safonau Archwilio Mewnol y Sector Cyhoeddus (PSIAS) rhaid i'r 'Prif Swyddog Gweithredol Archwilio' gyflwyno barn archwilio mewnol flynyddol ac adroddiad y gallai'r Cyngor eu defnyddio i hysbysu ei ddatganiad llywodraethu. Cynhwyswyd Adroddiad Archwilio Mewnol 2013-14 fel Atodiad 1 ac mae'n nodi:-

- bod y PAM wedi darparu 'sicrwydd canolig' o safbwynt pa mor ddigonol ac effeithiol yw amgylchedd rheoli mewnol y Cyngor, gan gynnwys ei drefniadau ar gyfer llywodraethu a rheoli risg;
- nad oedd dim amodau ynghlwm wrth 'farn' y PAM;
- lefel y gwaith a wnaed gan Archwilio Mewnol i ddod i'r 'farn' gyffredinol hon;
- sut wnaeth Archwilio Mewnol gydymffurfio â'r PSIAS; a
- chrynodeb o berfformiad da Archwilio Mewnol yn ystod y flwyddyn.

Ar ôl trafodaeth fer:-

**PENDERFYNWYD** – *bod y Pwyllgor Llywodraethu Corfforaethol yn derbyn ac yn nodi cynnwys yr adroddiad.*

## 10 CYNLLUN SICRWYDD BLYNYDDOL ARCHWILIO MEWNOL 2014/15

Roedd adroddiad gan y Pennaeth Archwilio Mewnol (PAM), a roddai fanylion y prosiectau Archwilio Mewnol arfaethedig ar gyfer y flwyddyn ac a fyddai'n caniatáu i'r PAM ddarparu 'barn' ar ba mor ddigonol ac effeithiol fu fframwaith llywodraethu, risg a rheolaeth y Cyngor yn ystod y flwyddyn wedi'i gylchredeg yn flaenorol.

Dan Safonau Archwilio Mewnol y Sector Cyhoeddus (PSIAS) rhaid i'r 'Prif Swyddog Gweithredol Archwilio' ddatblygu cynllun archwilio mewnol seiliedig ar risg sy'n rhoi ystyriaeth i'r gofyn i gyflwyno barn archwilio mewnol flynyddol ac adroddiad y gallai'r sefydliad eu defnyddio i hysbysu ei ddatganiad llywodraethu. Mae cylch gorchwyl y Pwyllgor yn mynnu ei fod yn ystyried strategaeth gynllunio Archwilio Mewnol.

Roedd y Pwyllgor wedi ystyried a rhoi sylwadau ar Strategaeth Archwilio Mewnol 2014-15 yn ei gyfarfod ar 15 Ebrill, 2014. Darparwyd trosolwg ar lle mae Archwilio Mewnol yn debygol o dreulio'i amser yn ystod 2014-15 ar ôl iddo symud i'r gwasanaeth Busnes, Gwella a Moderneiddio. Bryd hynny, roedd y PAM yn dal i ymgynghori â'r uwch reolwyr ar gynllun gweithredol manylach. Darparwyd crynodeb o Gynllun Sicrwydd Blynyddol Archwilio Mewnol 2014/15, Atodiad 1, a oedd yn cynnwys y cynllun gwaith arfaethedig ac yn caniatáu i'r PAM ddarparu 'barn' gyffredinol yn yr Adroddiad Blynyddol ar gyfer 2014-15. Cadarnhawyd bod diweddariadau rheolaidd ar gynnydd gyda chyflwyno'r Cynllun yn cael eu cyflwyno i'r Pwyllgor.

Hysbyswyd yr Aelodau bod y PAM wedi cyfarfod â holl aelodau'r Tîm Gweithredol Corfforaethol (TGC) a'r Uwch-dîm Arweinyddiaeth (UDA) i drafod y gwaith Archwilio Mewnol arfaethedig.

Rhodddwyd yr ymatebion canlynol i gwestiynau gan yr Aelodau:-

- Byddai nifer y dyddiau a ddyrannwyd i Dai Fforddiadwy a Glanhau Strydoedd yn ddigonol i ganfod unrhyw ddiffygion yn y ddarpariaeth gwasanaethau yn y priod feysydd. Cadarnhaodd y PAM y byddai materion yn ymwneud â pherfformiad ac arferion da yn cael eu harchwilio yn ystod y broses gwmpasu, ac y gellid addasu nifer y dyddiau a ddyrannwyd yn unol â hynny os oedd angen.
- Darparodd y PAM fanylion uchafswm capasiti gweithio'r gwasanaethau Archwilio Mewnol, o safbwynt niferoedd staffio.
- Esboniwyd nad oedd trefniadau llywodraethu o safbwynt sefydliadau hyd braich wedi'u cynnwys yn y Cynllun, ond y byddent yn cael eu cynnwys yn ddiweddarach. Amlinellodd y PAM i'r Pwyllgor y prosesau ar gyfer rhoi sylw i sefyllfaoedd brys a allai godi.

**PENDERFYNWYD** – bod y Pwyllgor Llywodraethu Corfforaethol yn derbyn ac yn nodi cynnwys yr adroddiad.

## 11 CYFLWYNO LLYWODRAETHU DA A GWELLIANT PARHAUS

Roedd adroddiad gan y Pennaeth Archwilio Mewnol (PAM), a ddarparai'r ymgynghori terfynol gyda'r Pwyllgor ynglŷn â'r adroddiad hunanasesu ar drefniadau gwella a llywodraethu'r Cyngor ar gyfer 2013/14, wedi'i gylchredeg yn flaenorol.

Roedd yr adroddiad yn disodli Datganiad Llywodraethu Blynyddol y Cyngor drwy gyfuno'r hunanasesiad llywodraethu a'r hunanasesiad corfforaethol blaenorol. Roedd yn arfer da ymgynghori'n eang ar yr hunanasesu gyda'r Aelodau a'r uwch reolwyr a llunio 'datganiad llywodraethu blynyddol' (DLIB) a oedd yn ffurfio rhan o Ddatganiad Cyfrifon y Cyngor. Er hynny, bu rhyw gymaint o ddyblygu rhwng yr hunanasesu oedd yn angenrheidiol ar gyfer y DLIB a'r hunanasesiad corfforaethol a ganolbwyntiai fwy ar welliant parhaus. Felly, penderfynwyd cyfuno'r dogfennau i ddarparu dull arloesol a oedd yn arbed adnoddau ac yn darparu dull gweithredu cydgysylltiedig o hunanasesu yn y Cyngor.

Esboniodd y PAM fod Atodiad 1 yn darparu Dogfen ddrafft "Cyflwyno Llywodraethu Da a Gwelliant Parhaus" a oedd yn awr yn y camau ymgynghori olaf gyda'r Aelodau a'r uwch reolwyr. Cynhwyswyd mân newidiadau a byddai ffigurau perfformiad y chwarter diwethaf yn cael eu hychwanegu pan gânt eu cwblhau. Byddai gofyn i'r Prif Swyddog Gweithredol a'r Arweinydd lofnodi'r fersiwn derfynol erbyn 30<sup>ain</sup> Mehefin, 2014 a byddai'n cael ei gyflwyno i'r Pwyllgor gyda'r Datganiad Cyfrifon ym Medi, 2014.

Hysbyswyd yr Aelodau y trafodwyd y ddogfen yn y:-

- Tîm Gweithredol Corfforaethol ar 17<sup>eg</sup> Mawrth, 2014
- Pwyllgor Llywodraethu Corfforaethol ar 15<sup>fed</sup> Ebrill, 2014
- Briff i'r Cyngor ar 28<sup>ain</sup> Ebrill, 2014
- Uwch-dîm Arweinyddiaeth ar 1<sup>af</sup> Mai, 2014

Fe'i dosbarthwyd hefyd at Aelodau'r Cabinet a SAC i gael sylwadau arno.

Cyfeiriodd y PAM at ddau fater pwysig yn ymwneud â llywodraethu a gynhwyswyd yn yr adroddiad. Roedd y cyntaf yn ymwneud â chaffael gwasanaethau adeiladu a'r llall yn ymwneud â sefydliadau hyd braich, a darparodd grynodedb o'r wybodaeth a geir yn yr adroddiad.

Cyfeiriodd Mr P. Whitham at adroddiad SAC ar gaffael ar gyfer gwaith cynnal a chadw adeiladau ysgolion ac at ganlyniadau'r archwiliad o'r trefniadau caffael ar gyfer adeiladu. Roedd adroddiad SAC wedi nodi ffigur o oddeutu £0.5m ar gyfer caffael dan gyfarwyddyd y Cyngor ar gyfer cynnal a chadw adeiladau ysgolion. Esboniodd fod y Prif Gyfrifydd wedi darparu ffigurau ar gyfer y flwyddyn ariannol bresennol a nodai ffigur o £28.4m o wariant cyfalaf ar gyfer caffael adeiladu a £9.3m ar gyfer refeniw, gan wneud cyfanswm o £37.7m y flwyddyn. Roedd hwn yn llawer mwy nag yr oedd adroddiad SAC wedi'i nodi ac, yn ei farn ef, roedd wedi amlygu mater llywodraethu pwysig o safbwynt y gwaith a wnaed. Cyfeiriodd Mr Whitham hefyd at yr adroddiad anffafriol a ddaeth i law yn flaenorol o safbwynt Adnoddau Dynol Strategol a'r ystyriaethau cyllidebol perthnasol a ddarparai ffigurau tebyg; cyfeiriwyd yn benodol at effaith rheolau gweithdrefnau contractau ar y ffigurau cyllideb a ddarparwyd. Mynegodd y farn y gallai'r Rheolau Gweithdrefnau Contractau a Chaffael ar gyfer Adeiladu gael eu hystyried fel materion llywodraethu

ar wahân, a chytunodd y PAM i gysylltu â'r Pennaeth Cyllid ac Asedau (PCA) ynglŷn â'r mater hwn.

Cyfeiriodd y PGCD at y gwaith y mae'r PCA yn ei wneud ar hyn o bryd o safbwynt materion Caffael a rheolau gweithdrefnau contractau a chadarnhaodd y byddai adroddiad ar y mater hwn yn cael ei gyflwyno gerbron y Cabinet ar y 27<sup>ain</sup> Mai, 2014. Nododd y PAM sylwadau Aelodau'r Pwyllgor.

Mewn ymateb i bryderon a fynegwyd gan y Cynghorydd J. Butterfield fod yr arolwg diweddaraf o drigolion wedi dangos nad oedd y rhan fwyaf o bobl yn teimlo eu bod yn cael gwybodaeth ddigonol am berfformiad y Cyngor nac am amrywiol bethau eraill y gofynnwyd amdanynt yn yr arolwg, esboniodd y PAM y byddai'r mater hwn yn cael sylw ac yn cael ei gynnwys yn yr adroddiad sydd i'w gyflwyno i'r Pwyllgor ym Medi, 2014.

**PENDERFYNWYD** – *bod y Pwyllgor Llywodraethu Corfforaethol yn derbyn yr adroddiad ac yn nodi sylwadau'r Aelodau.*

## 12 PROSES CYLLIDEB 2015/16

Roedd adroddiad gan y Pennaeth Cyllid ac Asedau, a roddai ddiweddariad ar y broses o gyflwyno'r gyllideb refeniw ar gyfer 2015/16 wedi'i gylchredeg yn flaenorol.

Rhoddai'r adroddiad drosolwg ar broses y gyllideb i'r Pwyllgor. Ers cyfarfod diwethaf y Pwyllgor, y prif weithgaredd fu cyflwyno papur ar broses y gyllideb i gyfarfod Briffio'r Cyngor ar 28<sup>ain</sup> Ebrill a chadarnhau'r dyddiadau ar gyfer y gweithdy ar y gyllideb i'r aelodau. Roedd gwahoddiadau'n awr wedi'u hanfon at yr holl Aelodau ac roedd manylion gweithdai Gorffennaf wedi'u cynnwys yn Nhabl 1 o'r adroddiad. Roedd y cyfarfodydd cyllid Rhyddid a Hyblygrwydd gyda gwasanaethau, arweinyddion gwasanaethau, aelodau a'r TGC oll wedi'u trefnu ac roedd yr amserlen wedi'i chynnwys yn Nhabl 2 yn yr adroddiad.

Darparodd y Prif Gyfrifydd ddiweddariad ar ganlyniad y ddau gyfarfod cyllideb Rhyddid a Hyblygrwydd cyntaf gyda gwasanaethau, a oedd yn cynnwys Gwasanaethau Oedolion a Busnes a Busnes, Gwella a Moderneiddio. Esboniwyd y byddai'r daenlen sy'n amlinellu manylion y gyllideb a nodiadau o'r canlyniad yn cael eu rhyddhau yn y dyfodol agos. Esboniodd y Prif Gyfrifydd fod y ddau Gyfarfod Cyllideb gyda Gwasanaethau wedi cael eu hadolygu yn y TGC a bod y broses wedi cael ei diwygio ychydig. Cadarnhawyd bod y tabl o'r Prif Ddigwyddiadau heb newid llawer a bod fersiwn ddiweddar wedi'i darparu i'r Pwyllgor.

Ymatebodd y Prif Gyfrifydd i gwestiynau gan yr Aelodau gan gadarnhau bod rheoli cyllidebau'r Cyngor yn effeithiol a chyflenwi'r strategaeth cyllideb y cytunwyd arni yn sylfaen i'r gweithgareddau ym mhob maes, gan gynnwys blaenoriaethau corfforaethol. Byddai angen i'r Cyngor sicrhau arbedion o oddeutu £12m dros y ddwy flynedd ariannol nesaf ac roedd y broses wedi'i hystyried gan y TGC, yr UDA, cyfarfod Briffio'r Cabinet, cyfarfod Briffio'r Cyngor a'r Pwyllgor Llywodraethu Corfforaethol.

Mewn ymateb i gwestiwn gan y Cadeirydd, esboniodd y Prif Gyfrifydd y ceid trosolwg ar ddatganoli swyddogaethau Cynghorau Tref a Chynghorau Cymuned fel rhan o'r broses, ac y byddai hyn yn cael sylw drwy gyfrwng y gwasanaethau unigol.

Esboniodd Mr P. Whitham fod ei bresenoldeb yn y cyfarfodydd briffio wedi bod o fudd a chytunwyd i'w wahodd i gyfarfodydd briffio i'r dyfodol.

**PENDERFYNWYD** – *bod y Pwyllgor Llywodraethu Corfforaethol yn derbyn ac yn nodi'r adroddiad.*

### **13 ADBORTH AR Y CYFARFOD CYDRADDOLDEB CORFFORAETHOL**

Esboniodd y Cynghorydd M.L. Holland nad oedd y Grŵp Cydraddoldeb Corfforaethol wedi cwrdd ers cyflwyno'r adroddiad blaenorol i'r Pwyllgor Llywodraethu Corfforaethol.

### **14 RHAGLEN WAITH Y PWYLLGOR LLYWODRAETHU CORFFORAETHOL**

Cyflwynwyd Blaen-raglen Waith (BrW) y Pwyllgor Llywodraethu Corfforaethol (wedi'i chylchredeg yn flaenorol) i'w hystyried.

Cadarnhaodd y Pwyllgor Flaen-raglen Waith y Pwyllgor Llywodraethu Corfforaethol, yn amodol ar y diwygiadau canlynol:-

#### **2<sup>il</sup> Gorffennaf, 2014:-**

- Yr adborth ar y Cyfarfod Cydraddoldeb Corfforaethol i gael ei dynnu'n ôl.
- Y Diweddariad ar Gaffael Gwasanaethau Adeiladu i gael ei symud i 3<sup>ydd</sup> Medi, 2014.
- Yr Adroddiad ar y Cwmnïau Hyd Braich i gael ei gyflwyno gan y Pennaeth Archwilio Mewnol.
- Adroddiad Gwelliant Swyddfa Archwilio Cymru i gael ei gynnwys.
- Datganiad Cyfrifon drafft 2013/14 i gael ei gynnwys.
- Llythyr Ffioedd Swyddfa Archwilio Cymru i gael ei gynnwys.

#### **29<sup>ain</sup> Medi, 2014:-**

- Datganiad Cyfrifon terfynol 2013/14 i gael ei gynnwys.
- Adroddiad Swyddfa Archwilio Cymru ar Ddatganiad Cyfrifon Terfynol 2013/14 i gael ei gynnwys.

Cyfeiriodd Mr P. Whitham at yr adroddiadau rheolaidd y cytunwyd i'w cynnwys ar yr agenda o safbwynt:-

- Adolygu'r Gofrestr Risg Gorfforaethol.
- Adolygu'r Cynnydd ar Gynllun Gweithredu Llywodraethu Corfforaethol.
- Diweddariad ar Reoli Gwybodaeth.
- Adroddiad Rheolwyr y Trysorlys.

Cytunodd y PGCD i gysylltu â'r Cadeirydd a'r Pennaeth Archwilio Mewnol ynglŷn â chynnwys yr eitemau busnes uchod ym Mlaen-raglen Waith y Pwyllgor. Cytunodd hefyd i gysylltu â'r Rheolwr Gwybodaeth Gorfforaethol ynglŷn â'r adroddiad Rheoli Gwybodaeth.

Diolchodd y Pwyllgor i'r Cadeirydd a Mr Paul Whitham, Aelod Lleyg, am y gwaith a wnaethant gyda'r Pwyllgor.

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

Daeth y cyfarfod i ben am 12.20 p.m.

**Adroddiad i'r:** Pwyllgor Llywodraethu Corfforaethol

**Dyddiad y Cyfarfod:** 2 Gorffennaf 2014

**Aelod/Swyddog Arweiniol:** Y Cyngorydd Julian Thompson-Hill/ Paul McGrady

**Awdur yr Adroddiad:** Richard Weigh, Prif Gyfrifydd

**Teitl:** Proses Gyllideb 2015/16

---

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

Mae'r adroddiad yn rhoi diweddariad ar y broses i ddarparu'r gyllideb referniw ar gyfer 2015/16.

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

I roi'r wybodaeth ddiweddaraf am y sefyllfa gyfredol.

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

Ystyried y diweddariad diweddaraf a gwneud sylwadau fel y bo'n briodol.

**4. Manylion yr Adroddiad**

Ers y cyfarfod diwethaf, mae diweddariad pellach wedi cael ei ddarparu i Friffio'r Cabinet ac ar adeg ysgrifennu'r adroddiad, roedd saith cyfarfod cyllideb Rhyddid a Hyblygrwydd wedi'u cynnal. Mae'r amserlen isod:

**Tabl 2 – Amserlen Cyfarfodydd Cyllideb Gwasanaeth Rhyddid a Hyblygrwydd**

<b>Gwasanaeth</b>	<b>Date</b>
Gwasanaethau Oedolion a Busnes - Cwblhawyd	7 Mai
Gwella Busnes a Moderneiddio - Cwblhawyd	13 Mai
Cyfathrebu, Marchnata a Hamdden - Cwblhawyd	22 Mai
Gwasanaethau Plant a Theuluoedd	29 Mai
Gwasanaethau Cyfreithiol a Democrataidd	30 Mai
Tai a Datblygu Cymunedol	5 Mehefin
Ysgolion, Gwella Ysgolion, Cwsmeriaid a Chefnogaeth Addysg	17 Mehefin
Adnoddau Dynol Strategol	25 Mehefin
Cynllunio a Gwarchod y Cyhoedd	25 Mehefin
Cyllid ac Asedau	26 Mehefin
Priffyrdd a'r Amgylchedd	30 Mehefin

Ym mhob cyfarfod, cafodd dadansoddiad manwl o gyllideb y gwasanaeth ei ystyried a chytunwyd ar set o ganlyniadau. Mae un enghraifft o'r dadansoddiad gwasanaeth a'r canlyniadau (mewn perthynas â Gwasanaethau Oedolion a Busnes) wedi ei hamgáu fel Atodiad 1 ac Atodiad 2. O'r canlyniadau, mae cyfres o daflenni gwybodaeth fanwl yn cael eu cynhyrchu i dynnu sylw at yr

amrywiaeth ac amseriad yr arbedion posibl, yr effaith, y risgiau a'r gofynion ymgynghori a awgrymwyd. Mae enghraifft i'w gweld yn Atodiad 3. Bydd yr wybodaeth i'w chyflwyno i'r gweithdai gyllideb ym mis Gorffennaf yn seiliedig ar yr atodiadau amgaaedig. Fodd bynnag, mae barn y Pwyllgor Llywodraethu Corfforaethol mewn perthynas â fformat a manylder yr wybodaeth a gynhwysir yn yr atodiadau yn allweddol gan y bydd yn helpu i lywio'r broses wrth iddi barhau i ddatblygu.

Digwyddiadau allweddol	Dyddiadau	Statws
Pwyllgor Llywodraethu Corfforaethol	15 Ebrill 2014	Cwblhawyd
Briffio'r Cyngor-	28 Ebrill	Cwblhawyd
Rownd Gyntaf Cyfarfodydd Cyllideb gyda Gwasanaethau	7 Mai – 30 Mehefin	Yr holl gyfarfodydd wedi'u trefnu - 7 wedi'u cwblhau
Diweddariad i Friffio'r Cabinet	12 Mai	Cwblhawyd
Adolygiad UDG o'r Broses	19 Mai	Cwblhawyd
Diweddariad i'r Pwyllgor Llywodraethu Corfforaethol	21 Mai	Cwblhawyd
Diweddariad i Friffio'r Cabinet	2 Mehefin	Cwblhawyd
Diweddariad i'r Pwyllgor Llywodraethu Corfforaethol	2 Gorffennaf	
Diweddariad i'r UDA	3 Gorffennaf	
Diweddariad i Friffio'r Cabinet	7 Gorffennaf	
Gweithdy Cyllideb Cyntaf i'r Aelodau	9 Gorffennaf	Gwahoddiadau wedi'i hanfon
Yr Ail Weithdy Cyllideb i'r Aelodau	25 Gorffennaf	Gwahoddiadau wedi'i hanfon
Trydydd Gweithdy Cyllideb i'r Aelodau	30 Gorffennaf	Gwahoddiadau wedi'i hanfon
Diweddariad i'r Pwyllgor Llywodraethu Corfforaethol	3 Medi	
Y Cyngor Sir	9 Medi	
Ail Rownd Cyfarfodydd Cyllideb gyda Gwasanaethau	Medi / Hydref cynnar	
Diweddariad i Friffio'r Cabinet	22 Medi	
Diweddariad i'r UDA	2 Hydref	
Diweddariad i Friffio'r Cabinet	6 Hydref	
Y Pedwerydd Gweithdy Cyllideb i'r Aelodau	13 Hydref	Gwahoddiadau wedi'i hanfon
Y Pumed Gweithdy Cyllideb i'r Aelodau	20 Hydref	Gwahoddiadau wedi'i hanfon
Diweddariad i Friffio'r Cabinet	3 Tachwedd	
Diweddariad i'r Pwyllgor Llywodraethu Corfforaethol	5 Tachwedd	
Diweddariad i Friffio'r Cabinet	8 Rhagfyr	
Y Cyngor Sir	9 Rhagfyr	
Y Chwched Gweithdy Cyllideb i'r Aelodau	12 Rhagfyr	Gwahoddiadau wedi'i hanfon



<b>Diweddariad i'r Pwyllgor Llywodraethu Corfforaethol</b>	<b>17 Rhagfyr</b>	
<b>Y Cyngor Sir</b>	<b>3 Chwefror 2015</b>	

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

Mae rheolaeth effeithiol o gyllideb y cyngor a chyflawni'r strategaeth gyllidebol a gytunwyd yn sylfaen i weithgareddau ym mhob maes, gan gynnwys blaenoriaethau corfforaethol.

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

Mae angen i'r cyngor i sicrhau arbedion o tua £12 - £14m dros y ddwy flynedd ariannol nesaf.

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

Bydd AEaG yn cael ei gwblhau ar gyfer yr holl gynigion perthnasol wrth i'r broses ddatblygu.

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

Mae'r broses wedi cael ei ystyried gan yr UDG, UDA, Briffio'r Cabinet, Briffio'r Cyngor a'r Pwyllgor Llywodraethu Corfforaethol.

**9. Datganiad y Prif Swyddog Cyllid**

Bydd hon yn broses heriol iawn gyda rhai penderfyniadau anodd i'w gwneud ar hyd y ffordd. Mae ymrwymiad a chefnogaeth aelodau etholedig yn y broses o wneud penderfyniadau ac archwilio'r broses yn hanfodol.

**10. Pa risgiau sydd, ac a oes unrhyw beth y gallwn ei wneud i'w lleihau?**

Dyma'r cyfnod ariannol mwyaf heriol y mae'r cyngor wedi ei wynebu a byddai methu a chyflawni strategaeth gyllideb effeithiol yn rhoi mwy o bwysau ar wasanaethau yn y dyfodol.

**11. Pŵer i wneud y Penderfyniad**

Mae'n ofynnol i awdurdodau lleol o dan Adran 151, Deddf Llywodraeth Leol 1972 wneud trefniadau ar gyfer gweinyddu eu materion ariannol yn briodol.

Mae tudalen hwn yn fwriadol wag

ADULT & BUSINESS SERVICES

Freedoms and Flexibilities Full Service Analysis 2014/15

CODES	Service Component	Approx % resources allocated to component	Gross Budget 2014/15	Income Budget 2014/15	Net Budget 2014/15	Comments	Statutory/Non Statutory	Corporate Priority Yes/No	Statutory Duty so should do but at what level?	Non Statutory Duty therefore flexibility as to whether to do or not. If do at what level?					
		%	£	£	£										
<b>SASNEW</b>	<b>ADULT AND BUSINESS SERVICES</b>		<b>44,377,296</b>	<b>-12,238,632</b>	<b>32,138,664</b>										
<b>SAABUS</b>	<b>BUSINESS SERVICES</b>		<b>7,695,626</b>	<b>-1,857,660</b>	<b>5,837,966</b>										
<b>SBU100</b>	<b>STAFFING</b>														
S32001	CONTRACT MANAGEMENT AND REVIEW		600,029	0	600,029	Quality Assurance of independent sector care	S	Y Protection	More						
S32024	FINANCIAL ASSESSMENT OFFICERS		349,269	0	349,269	Charging Policy Income but could be more efficient	S	Y Efficient	Less	Yes					
<b>SACJAC</b>	<b>PROVIDER SERVICES</b>														
S20803	MANAGEMENT - RHYL		91,962	0	91,962	These are all of the in-house provided care services that are included in the Scrutiny Task & Finish group looking at sustainability and equity issues. While not statutory or corporate priority they are very politically and publicly sensitive.	N	N		Externalise					
S21210	AWELON, RUTHIN		800,120	-345,154	454,966		N	N		Externalise					
S21211	CYSGOD Y GAER, CORWEN		675,046	-217,000	458,046		N	N		Externalise					
S21212	DOLWEN, DENBIGH		740,829	-331,449	409,380		N	N		Externalise					
S21800	RESI, DAY AND ECH MANAGER		52,941	0	52,941		N	N		Externalise					
S21802	DAY SERVICES MANAGER		7,305	0	7,305		N	N		Externalise					
S21821	GORWEL NEWYDD-EXTRA CARE RHYL		253,338	-118,628	134,710		N	N		Externalise					
S21822	NANT Y MOR - EXTRA CARE HOUSING, PRESTATYN		215,931	0	215,931		N	N		Externalise					
S21823	LLYS AWELON EXTRA CARE HOUSING, RUTHIN		175,587	-53,000	122,587		N	N		Externalise					
S22221	HAFAN DEG, RHYL		374,544	-12,000	362,544		N	N		Externalise					
S22225	DOLWEN DAY CENTRE, DENBIGH		133,088	-2,000	131,088		N	N		Externalise					
S24800	MOW		24,644	-13,250	11,394		N	N		Externalise					
S44500	24 LLEWELYN ESTATE, DENBIGH		151,553	-39,676	111,877		N	N		Externalise					
S54810	MAES Y FELIN DAY CENTRE		42,678	0	42,678		N	N		Externalise					
<b>SAEOPS</b>	<b>LD WORK OPPORTUNITIES</b>		<b>898,134</b>	<b>-232,960</b>	<b>665,174</b>										
<b>SAACOL</b>	<b>RECEIVERSHIP</b>		<b>119,537</b>	<b>-105,000</b>	<b>14,537</b>	Needs to be self-financing protects vulnerable adults from financial abuse.	N	Y Protection		Same					
<b>SAAMAR</b>	<b>WORKFORCE DEV &amp; ADMIN</b>														
SBU400	ADMINISTRATION		794,710	-14,378	780,332	This is the whole admin (secretarial and business support) budget for the Service. Reductions in management capacity mean that any reduction in this will result in higher admin costs and less productivity.	N	Yes Efficient	Less	Same					
SBU500	WORKFORCE DEVELOPMENT		625,592	-332,865	292,727	This covers training for internal and external social care services as mandated by WG. Work is ongoing to develop a regional based service that will reduce costs.	S	Y Protect Efficient	Less	Less					
<b>SAAMEI</b>	<b>CUSTOMER CONNECTIONS</b>		<b>164,247</b>	<b>-20,000</b>	<b>144,247</b>	Complaints, FOI, Customer Feedback, Policy Development	S	Y Efficient	Same	Same					
<b>SAAMIC</b>	<b>MIS/PERFORMANCE MANAGEMENT</b>		<b>404,542</b>	<b>-20,300</b>	<b>384,242</b>	PARIS, Statutory Returns, Pls.	S	Y Efficient	More	More					
<b>SADLOC</b>	<b>LOCALITIES</b>		<b>16,149,469</b>	<b>-1,760,408</b>	<b>14,389,061</b>										
SADFCT	FIRST CONTACT TEAM		429,277	-51,126	378,151	Will transform to Single Point of Access for Adults, jointly with Health & 3rd Sector with Intermediate Care Fund (ICF) money leaving greater level of staffing within Children.	S	Y Efficient Protect	More	More					
SACJUL	REABLEMENT & REABLERS		812,975	-79,933	733,042	Being restructured alongside Locality Teams	S	Y Efficient Protect	Same	Same					
SLN200	LONG TERM STAFFING NORTH		835,828	-160,000	675,828	Being restructured and transformed using ICF money	S	Y Protect	Same	Same					
S59400	INTAKE STAFFING NORTH		637,396	-63,328	574,068										
SLS200	LONG TERM STAFFING SOUTH		675,454	-3,817	671,637										
SACSOP	INTAKE STAFFING SOUTH		463,123	-52,742	410,381										
<b>SLN100</b>	<b>EXT COMMUNITY CARE BUDGETS</b>														
S26410	DIRECT PAYMENTS - OLDER PEOPLE - NORTH		100,533	-700	99,833	Most of these are traditional social care services 'prescribed' by practitioners. The modernisation agenda is designed to move towards person centred solutions to achieving outcomes. This should be cheaper but, as demand increases with demographic pressures, will not result in savings.	S	Y Efficient Protect	More Less Less More Less More Less Less Less Less	More Less Less More Less Less Less Less Less					
S51410	OP, RESI, NURS, DOM - NORTH		6,873,144	-739,955	6,133,189										
S52410	PD, RESI, NURS, DOM - NORTH		584,004	-184,412	399,592										
S52822	DP PD - NORTH		77,400	-414	76,986										
S71410	OP, PRESERVED RIGHTS - NORTH		150,810	-5,463	145,347										
S26430	DP OP - SOUTH		107,413	-6,800	100,613										
S51430	OP, RESI, NURS, DOM - SOUTH		3,414,351	-343,583	3,070,768										
S52430	PD, RESI, NURS, DOM - SOUTH		532,930	-58,983	473,947										
S52823	PD, DP - SOUTH		309,142	-9,152	299,990										
S71430	OP, PRESERVED RIGHTS - SOUTH		145,689	0	145,689										
<b>SADSDV</b>	<b>COMMUNITIES &amp; WELL BEING</b>		<b>2,533,722</b>	<b>-833,380</b>	<b>1,700,342</b>										
SADCOM	COMMUNITY DEVELOPMENT		121,286	-9,000	112,286						Savings have been identified this year through additional income	N	N	Less	Less
SADNWC	NEW WORK CONNECTIONS		283,455	-277,779	5,676	These budgets will cease after the 1st Quarter of 14/15 as the NWC project will finish (WEFO funded). The net budget relates to corporate insurance premiums	N	N	Ending	Ending					
SADOPS	OLDER PEOPLE STRATEGY		42,897	0	42,897	National requirement	Y	Y Efficient	Same	Same					
SADWEL	WELFARE RIGHTS		345,162	-98,411	246,751	Currently part of review of Welfare Advice Services	N	N	Less	Yes					
S32005	COMMISSIONING		208,553	-49,190	159,363	Will reduce over next 2 years	Y	Y Efficient	Less	Less					
SBU200	CARERS SERVICES		135,421	-80,000	55,421		Y	Y Efficient	Same	Same					
SBU300	VOLUNTARY ORGANISATIONS AND GRANTS		959,714	-25,000	934,714		Y	Y Efficient	Same	Same					
SABNU	COMMUNITY EQUIPMENT SERVICE INTEGRATION		437,234	-244,000	193,234	Partnership with BCUHB - pooled budget	Y	Y Efficient	Same	Same					

SAESPE	SPECIALIST SERVICES		12,859,624	-2,642,606	10,217,018				
<b>SAESTF</b>	<b>STAFFING - LEARNING DISABILITY</b>								
S45001	PROTECTION OF VULNERABLE ADULTS		83,600	0	83,600	S	Y Protect	Same	Same
S45658	S.P.G. TRAINING		3,945	0	3,945	N	N	Same	Same
S53001	LEARNING DISABILITY STAFF ASW		386,364	-204,672	181,692	S	Y Efficient Protect	Same	Same
S53006	PERSON CENTRED PLANNING		38,750	0	38,750	N	Y Efficient Y	Same	Same
S79800	SUBSTANCE MISUSE STAFFING		15,147	0	15,147	S	Y Protect	Same	Same
<b>SAECCS</b>	<b>COMMUNITY CARE - LEARNING DISABILITY</b>								
SCS100	DOMICILIARY CARE		690,122	-28,644	661,478	S			
SCS200	RESI, NURS, DP, AD PLACEMENT, CONTRACTS		3,874,010	-685,664	3,188,346	S	Y Efficient Protect	Same	Same
SAECLS	COMMUNITY LIVING		4,870,267	-1,388,828	3,481,439	S			
<b>SL5600</b>	<b>STAFFING - MENTAL HEALTH</b>								
S41410	COMMUNITY MENTAL HEALTH TEAM - DYFFRYN CLWYD		214,295	-42,743	171,552	S	Y Efficient Protect	Same	Same
S41415	COMMUNITY MENTAL HEALTH TEAM - HAFOD		281,166	0	281,166				
	<b>COMMUNITY CARE - MENTAL HEALTH</b>								
S47810	RESIDENTIAL, NURSING & DOM CARE - SOUTH		697,077	-39,890	657,187		Y		
S47820	RESIDENTIAL, NURSING & DOM CARE - NORTH		875,232	-63,226	812,006	S	Efficient Protect	Less	Less
S47825	MENTAL ILLNESS - PRESERVED RIGHTS		308,466	-60,648	247,818				
<b>SL5700</b>	<b>IN-HOUSE PROVIDER - MENTAL HEALTH</b>								
S42427	18, EAST PARADE - REHAB		128,085	-112,094	15,991				
S43430	TY MOR, RHYL		132,767	-200	132,567				
S43435	OUT OF HOURS RHYL		29,835	0	29,835		Y		
S47811	OUT OF HOURS - VOC		18,523	-11,107	7,416	N	Efficient Protect	Less	Less
S47812	TREFERIAN DAY CENTRE, DENBIGH		46,313	0	46,313				
S47813	SESSIONAL SUPPORT - SOUTH		52,535	0	52,535				
S47814	SESSIONAL SUPPORT - NORTH		11,726	0	11,726				
SL5500	LLYS MARCHAN, RUTHIN		101,399	-4,890	96,509	S	N	Less	Less

SAGACS	ADULT CENTRAL SERVICES		1,024,726	-1,112,448	-87,722				
<b>SAGOLD</b>	<b>ADULT SERVICES</b>								
S60800	ICT COSTS		20,269	0	20,269				
S60850	SENIOR MANAGEMENT		539,532	0	539,532	S	Yes Y Efficient	More	Same
S75800	EMERGENCY DUTY TEAM		106,748	0	106,748	S	Yes Protect	Less	Less
S83001	CHARGING POLICY		0	-1,112,448	-1,112,448	S	Yes Efficient	More	More
<b>SAGOTH</b>	<b>OTHER ADULT SERVICES</b>								
S50001	OLDER PEOPLE - SERVICE MANAGER		5,505	0	5,505				
S53008	REGIONAL COMMISSIONING HUB		0	0	0				
S83890	OTHER ADULT SERVICES		352,672	0	352,672				

SAFCEF	CEFNDY ENTERPRISES		4,114,129	-4,032,130	81,999				
S89701	CEFNDY ENTERPRISES		4,045,083	-3,743,606	301,477				
S89702	DEVELOPMENT FUND		35,269	0	35,269				
S89703	DWP		33,777	-288,524	-254,747				

Yn rhinwedd Paragraff(au) 14, 15 Rhan 4, Atodlen 12A  
Deddf Llywodraeth Leol 1972.

Document is Restricted

Mae tudalen hwn yn fwriadol wag

<b>Service:</b>	<b>ADULT AND BUSINESS SERVICES</b>	<b>EFFICIENCY No.</b>	<b>#REF!</b>
<b>Title:</b>	<b>PARIS financials and reduction in domiciliary care invoices</b>		
<b>Brief Description:</b>			
<b>FINANCIAL PROFILE</b>			
	<b>2015/16</b>	<b>2016/17</b>	<b>2017/18</b>
	<b>£k</b>	<b>£k</b>	<b>£k</b>
<b>Reductions in Expenditure (-)</b>			
Salaries			
Other Expenditure			
Income			
<b>Increases in Expenditure (+)</b>			
Salaries			
Other Expenditure			
Income			
<b>Net Efficiency</b>	0	0	0
<b>Impact on Service Provision / Service Performance:</b>			
<b>Impact on Staff:</b>			
<b>Impact on Corporate Priorities / Plan:</b>			
<b>Risk Assessment:</b>			
<b>Consultations Required / Undertaken:</b>			
<b>Geographical Impact:</b>			
<b>Impact on Other Services:</b>			
<b>Lead Member Approval</b>			
<b>Equalities Impact Assessment Required:</b>	Unsure - further work required	<b>Link to Modernisation Agenda:</b>	Working Practices
<b>Category of Efficiency:</b>	Service Savings	<b>GL Code/s:</b>	

Mae tudalen hwn yn fwriadol wag



<b>Adroddiad i'r:</b>	<b>Pwyllgor Llywodraethu Corfforaethol</b>
<b>Dyddiad y Cyfarfod:</b>	<b>2 Gorffennaf 2014</b>
<b>Aelod/Swyddog Arweiniol:</b>	<b>Julian Thompson-Hill / Paul McGrady (Pennaeth Cyllid ac Asedau)</b>
<b>Awdur yr Adroddiad:</b>	<b>Richard Weigh, Prif Gyfrifydd</b>
<b>Teitl:</b>	<b>Datganiad Drafft o Gyfrifon 2013/14</b>

---

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

Darparu trosolwg o'r Datganiad drafft o Gyfrifon 2013/14 a'r broses sy'n sail iddo.

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

Mae gan y Pwyllgor Llywodraethu Corfforaethol gyfrifoldeb wedi'i ddirprwyo iddo i gymeradwyo'r cyfrifon archwiliedig a fydd yn cael eu cyflwyno ar 26 Medi 2014. Mae cyflwyno'r cyfrifon drafft yn rhoi arwydd cynnar o sefyllfa ariannol y cyngor a gall dynnu sylw at unrhyw broblemau yn y cyfrifon neu'r broses cyn i'r cyfrifon gael eu harchwilio.

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

Nodi'r sefyllfa fel y'i cyflwynir yn y cyfrifon drafft (copi i ddilyn fel Atodiad 1).

## **4. Manylion yr Adroddiad**

Mae gan y Cyngor ddyletswydd statudol i baratoi datganiad o gyfrifon sy'n cydymffurfio â safonau cyfrifo cymeradwy. Mae'n rhaid i'r cyfrifon archwiliedig gael eu cymeradwyo'n ffurfiol gan aelodau etholedig ar ran y Cyngor. Mae'r rôl hon wedi cael ei dirprwyo i'r Pwyllgor Llywodraethu Corfforaethol. Bydd y cyfrifon drafft yn cael eu cwblhau erbyn 30 Mehefin. O ystyried rôl y Pwyllgor o ran cymeradwyo'r cyfrifon terfynol, mae'n fanteisiol i roi'r wybodaeth ddiweddaraf a throsolwg ar y cam drafft i'w ystyried cyn cyflwyno'r cyfrifon terfynol ym mis Medi.

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

Mae cyhoeddi Datganiad o Gyfrifon yn sail i stiwardiaeth a llywodraethu ariannol y Cyngor ac felly mae'n cefnogi holl wasanaethau a blaenoriaethau'r Cyngor.

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

Does dim costau ychwanegol yn codi o ganlyniad i'r adroddiad hwn.

**7. Beth yw prif gasgliadau'r Asesiad o Effaith ar Gydraddoldeb (EqIA) a gynhaliwyd ar y penderfyniad?**

Ddim yn berthnasol i'r adroddiad hwn.

**8. Pa ymgynghoriadau a gynhaliwyd?**

Caiff gweithdrefnau a phrosesau'r cyngor sy'n sail i gynhyrchu'r cyfrifon eu hadolygu'n rheolaidd gan Swyddfa Archwilio Cymru. Caiff barn broffesiynol oddi wrth nifer o ddisgyblaethau eraill tu hwnt i gyllid, megis yr adain gyfreithiol, prisio eiddo, adnoddau dynol a phensiynau.

**9. Datganiad y Prif Swyddog Cyllid**

Mae'r Datganiad o Gyfrifon yn elfen allweddol o fframwaith llywodraethu'r cyngor. Mae'n bwysig bod aelodau etholedig yn cael eu sicrhau bod y cyfrifon wedi cael eu cynhyrchu yn unol â'r safonau perthnasol a bod y broses sy'n sail i gynhyrchu cyfrifon yn gadarn.

**10. Pa risgiau sydd, ac a oes unrhyw beth y gallwn ei wneud i'w lleihau?**

Byddai'r Cyngor yn torri ei ddyletswydd statudol pe na byddai'n gallu cymeradwyo'r cyfrifon erbyn 30 Medi.

**11. Pŵer i wneud y Penderfyniad**

Mae'n ofynnol i awdurdodau lleol o dan Adran 151, Deddf Llywodraeth Leol 1972 wneud trefniadau ar gyfer gweinyddu eu materion ariannol yn briodol. Mae'n ofynnol i'r Archwilydd Penodedig gan Ddeddf Archwilio Cyhoeddus (Cymru) 2004 i archwilio ac ardystio cyfrifon y cyngor a rhaid iddo fod yn fodlon bod y cyfrifon wedi cael eu cwblhau yn unol â'r Rheoliadau Cyfrifon ac Archwilio (Cymru) 2005.

<b>Adroddiad i'r:</b>	<b>Pwyllgor Llywodraethu Corfforaethol</b>
<b>Dyddiad y Cyfarfod:</b>	<b>2 Gorffennaf, 2014</b>
<b>Aelod / Swyddog Arweiniol:</b>	<b>Barbara Smith, Aelod Arweiniol dros Foderneiddio</b>
<b>Awdur yr Adroddiad:</b>	<b>Alan Smith, Pennaeth Datblygu Busnes a Moderneiddio</b>
<b>Teitl:</b>	<b>Adroddiad Gwella Blynyddol 2013-14</b>

---

## **1. Ynglŷn â beth mae'r adroddiad?**

Mae'r adroddiad yn ymwneud â'r asesiad blynyddol o ragolygon y Cyngor ar gyfer gwella, a gyflawnwyd gan Swyddfa Archwilio Cymru.

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

Darparu gwybodaeth ar gyfer Aelodau ynglŷn ag Adroddiad Gwella Blynyddol (AGB) y Cyngor. Gweler Atodiad 1.

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

Bod y Pwyllgor Llywodraethu Corfforaethol yn nodi cynnwys yr adroddiad sydd wedi'i atodi a'r cynigion ar gyfer gwella a geir ynddo.

## **4. Manylion yr adroddiad.**

Dan y Mesur Llywodraeth Leol, bob blwyddyn mae Swyddfa Archwilio Cymru'n adolygu cynnydd y Cyngor tuag at gyflawni ei amcanion a'i ragolygon ar gyfer parhau i wella yn y flwyddyn sydd i ddod.

Ar gyfer y flwyddyn 2013-14, mae SAC wedi dod i'r casgliad:

- Bod Sir Ddinbych wedi gwneud cynnydd da o ran cyflawni gwelliannau ym mhob un o'i amcanion blaenoriaeth ar gyfer 2012-13 ond bod gwelliannau pellach yn ofynnol mewn rhai meysydd allweddol;
- Bod adolygiadau herio gwasanaethau'r Cyngor a mesurau eraill i hunan-arfarnu ei berfformiad yn gadarn;
- Bod gwaith y Cyngor i gynllunio ar gyfer gwella a'i drefniadau i gefnogi gwelliant yn dda;

- Bod y Cyngor yn debygol o wneud trefniadau i sicrhau gwelliant parhaus ar gyfer 2014-15.

Os oes gan SAC bryderon sylweddol ynghylch y cynnydd a wneir gan y Cyngor neu'r cyfeiriad y mae'n symud ynddo, bydd yn gwneud argymhellion ffurfiol ar gyfer newid. Nid yw adroddiad Sir Ddinbych yn cynnwys unrhyw argymhellion ffurfiol eleni (nid yw erioed wedi cynnwys rhai a dweud y gwir) sy'n adlewyrchu safbwynt cadarnhaol SAC am gynnydd y Cyngor.

Nid yw hynny'n golygu ein bod yn gwneud popeth yn iawn serch hynny; mae'n anochel bod angen mwy o waith ar rai pethau ac mae adroddiad eleni, fel adroddiad y llynedd, yn gwneud 'cynigion ar gyfer gwella'. Rydym wedi gwneud cynnydd da gyda'r holl gynigion a wnaed yn adroddiad 2012/13 ac eleni mae'r arolygwyr wedi gwneud dau gynnig pellach a fydd, yn eu tyb hwy, yn helpu'r Cyngor i barhau i wneud cynnydd. Y rhain yw:

- *C1 – Er mwyn cyflawni ei amcan i foderneiddio gwasanaethau dylai'r Cyngor barhau i fynd i'r afael â gwendidau yn ei Wasanaeth Adnoddau Dynol Corfforaethol.*
- *C2 – Dylai'r Cyngor sicrhau bod rolau a chyfrifoldebau'n eglur i gyflawni'r amcan o ran tai fforddiadwy.*

Mae'r Cyngor yn derbyn y ddau gynnig yma ac mae eisoes yn gweithredu i fynd i'r afael â hwy. O ran y cynnig sy'n ymwneud â'r gwasanaeth Adnoddau Dynol, rydym yn parhau i weithio trwy gynllun gweithredu i fynd i'r afael â'r diffygion a adnabuwyd. O ran y mater sy'n ymwneud â thai fforddiadwy, mae grŵp tasg o aelodau a Swyddogion allweddol yn cael ei sefydlu i adolygu ein hamcanion yn y maes pwysig yma.

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

Nid oes penderfyniad yn ofynnol, ond mae adolygiad SAC o gynnydd y Cyngor yn rhan bwysig o ddeall ein cynnydd tuag at gyflawni ein Blaenoriaethau Corfforaethol.

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

Nid oes goblygiadau ariannol.

## **7. Beth yw prif gasgliadau'r Asesiad o'r Effaith ar Gydraddoldeb a gwblhawyd ar y penderfyniad. Dylid atodi templed Asesu'r Effaith ar Gydraddoldeb wedi'i gwblhau fel atodiad wrth yr adroddiad.**

Ddim yn berthnasol.

## **8. Pa ymgynghoriadau a gwblhawyd gyda'r Pwyllgor Archwilio ac eraill?**

Mae swyddogion wedi adolygu'r adroddiad o safbwynt cywirdeb cyn ei gyhoeddi. Bydd yn cael ei gyflwyno i'r Pwyllgor Llywodraethu Corfforaethol ym mis Gorffennaf.

**9. Datganiad y Prif Swyddog Cyllid**

Ddim yn ofynnol.

**10. Pa risgiau sydd ac a oes unrhyw beth y gallwn ni ei wneud i'w lleihau?**  
Byddai risg i'r Cyngor pe na bai'n gweithredu ar y cynigion ar gyfer gwella a wnaed gan SAC.

**11. Pŵer i wneud y Penderfyniad**

Nid oes penderfyniad yn ofynnol.

Mae tudalen hwn yn fwriadol wag





WALES **AUDIT** OFFICE  
SWYDDFA **ARCHWILIO** CYMRU

# Annual Improvement Report

## Denbighshire County Council

Issued: May 2014

Document reference: 272A2014

# About the Auditor General for Wales

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

Together with appointed auditors, the Auditor General audits local government bodies in Wales, including unitary authorities, police, probation, fire and rescue authorities, national parks and community councils. He also conducts local government value for money studies and assesses compliance with the requirements of the Local Government (Wales) Measure 2009.

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

The Auditor General and staff of the Wales Audit Office aim to provide public-focused and proportionate reporting on the stewardship of public resources and in the process provide insight and promote improvement.

This Annual Improvement Report has been prepared on behalf of the Auditor General for Wales by Huw Lloyd Jones and Gwilym Bury under the direction of Alan Morris.



# Contents

<b>Summary report and proposals for improvement</b>	4
<b>Detailed report</b>	
Introduction	6
The Council made good progress in delivering improvements in all of its priority objectives for 2012-13 but further improvements are required in a few key services	7
The Council's service challenge reviews and other measures to self-evaluate its performance are robust	17
The Council's planning for improvement and its arrangements to support improvement are good	19
The Council is likely to make arrangements to secure continuous improvement for 2014-15	23
<b>Appendices</b>	
Appendix 1 Status of this report	24
Appendix 2 Useful information about Denbighshire and Denbighshire County Council	25
Appendix 3 Annual Audit Letter	27
Appendix 4 Denbighshire County Council's improvement objectives and self-assessment	29

# Summary report and proposals for improvement

## Summary

1 Each year, the Auditor General must report on how well Welsh councils, fire and rescue authorities and national parks are planning for improvement in delivering their services. This report draws on the work of the relevant Welsh inspectorates, as well as work undertaken on the Auditor General's behalf by the Wales Audit Office. The report covers Denbighshire County Council's (the Council) delivery and evaluation of its services in 2012-13, its planning for improvement in 2013-14 and, taking these into account, concludes whether the Auditor General believes that the Council will make arrangements to secure continuous improvement for 2014-15.

2 We found that the Council made good progress in delivering improvements in all of its priority objectives for 2012-13 but further improvements are required in a few key services. We came to this conclusion because:

- the Council worked effectively with its business partners to deliver initiatives which support the local economy;
- the Council has made some progress in improving performance in education but recognises that further progress is required at key stage 3;
- the condition of most roads in Denbighshire has improved;

- the Council continues to improve the wellbeing of its most vulnerable citizens;
- the Council has worked effectively to keep Denbighshire's environment attractive but further work is required to reduce incidents of fly-tipping and improve resident satisfaction;
- the Council has helped prevent many people from becoming homeless but its work to ensure access to affordable housing was less effective; and
- the Council has delivered some efficiencies in modernising services but there has been a lack of progress by the Human Resources service in meeting targets.

3 We found that the Council's service challenge reviews and other measures to self-evaluate its performance are robust. In particular:

- the Council's service challenge arrangements are good;
- the Council's performance management arrangements are soundly based;
- the Council has met improvement reporting duties required under the Measure; and
- the Council complied with financial reporting requirements.

4 Finally, we found that the Council's planning for improvement and its arrangements to support improvement are good. In particular:

- the use of performance standards helps to promote a consistent culture of ambition;
- the Council continues to make good progress in addressing the proposals for improvement identified in the previous Annual Improvement Report;
- corporate arrangements are in place to ensure compliance with the Council's Welsh Language Scheme;
- the Council has complied with its duties under the Equality Act 2010;
- processes for developing the Annual Governance Statement have improved and the Council is taking further action; and
- the Council continues to manage its financial position effectively.

5 Taking the above into account, the Auditor General believes that the Council is likely to make arrangements to secure continuous improvement for 2014-15.

## Proposals for improvement

P1	In order to achieve its objective to modernise services the Council should continue its work to address weaknesses in its Corporate Human Resource Service.
----	---

P2	The Council should ensure that roles and responsibilities are clear for the achievement of the affordable housing objective.
----	--

# Detailed report

## Introduction

- 6 Under the Local Government (Wales) Measure 2009 (the Measure), the Auditor General must report each year on how well Welsh councils, fire and rescue authorities and national park authorities are planning for improvement in delivering their services. **Appendix 1** provides more information about the Auditor General's powers and duties under the Measure. With help from Welsh inspectorates, Estyn (for education), the Care and Social Services Inspectorate for Wales (the CSSIW), and the Welsh Language Commissioner, we have brought together a picture of what each council or authority in Wales is trying to achieve, how it is going about it, and the progress the Council has made since the Auditor General published his last annual improvement report. The report also draws on the Council's own self-assessment. Finally, taking all this into account, the report concludes whether the Auditor General believes that the Council is likely to make arrangements to secure continuous improvement for 2014-15.
- 7 We do not undertake a comprehensive annual review of all Council arrangements or services. The conclusions in this report are based on our cumulative and shared knowledge and the findings of prioritised work undertaken this year.
- 8 Given the wide range of services provided and the challenges facing the Council, it would be unusual if we did not find things that can be improved. The Auditor General is able to:
- make proposals for improvement – if proposals are made to the Council, we would expect them to do something about them and we will follow up what happens;
  - make formal recommendations for improvement – if a formal recommendation is made the Council must prepare a response to that recommendation within 30 working days;
  - conduct a special inspection and publish a report and make recommendations; and
  - recommend to Ministers of the Welsh Government that they intervene in some way.
- 9 We want to find out if this report gives you the information you need and whether it is easy to understand. You can let us know your views by e-mailing us at [info@wao.gov.uk](mailto:info@wao.gov.uk) or writing to us at 24 Cathedral Road, Cardiff, CF11 9LJ.

## The Council made good progress in delivering improvements in all of its priority objectives for 2012-13 but further improvements are required in a few key services

### The Council worked effectively with its business partners to deliver initiatives that support the local economy

- 10 The Council's 2012-13 improvement objectives for developing the economy had six intended outcomes:
- the infrastructure that connects the county, to the wider region and beyond, will enable individuals and businesses based in Denbighshire to compete effectively in wider markets for jobs and trade;
  - Denbighshire will have a workforce with the skills required for business growth;
  - businesses will develop and grow in Denbighshire;
  - Denbighshire's existing economic strengths and new potential will be maximised;
  - towns and rural communities will be revitalised; and
  - deprivation in parts of Rhyl and upper Denbigh will be reduced.
- 11 The Council has played an active role, together with the other five unitary authorities in North Wales, in establishing the North Wales Economic Ambition Board. The Council is a strong advocate of the Board, acknowledging that the economic wellbeing of the County depends heavily on what happens beyond its boundaries as well as within. Responsibility for developing the Board's agreed priorities has been allocated to each partner. The Board is working on the
- development of an integrated Infrastructure Investment Plan – which includes the development of an economic case for investment in rail electrification in North Wales – and a Skills Development Plan.
- 12 During 2012-13, activities associated with this outcome focused on liaising with Sector Skills Councils and Careers Wales to identify skills gaps and to prepare advice and training courses to support young people. For example, the Council negotiated a development agreement with Rhyl City Strategy and the owners of the former Honey Club; as the site is redeveloped into a hotel and restaurant, customised training will help local residents seeking work to acquire the skills required when staff recruitment begins.
- 13 As was the case in 2011-12, the target to reduce the level of Job Seeker's Allowance claimants compared to average levels in Wales was again missed, but this indicator has fluctuated and may not be a reflection on the effectiveness of the Council's work to support economic growth. The reduction in the last two years in the percentage of economic inactivity in Denbighshire and the reduction in the absolute number of people claiming Job Seeker's Allowance is a positive trend.
- 14 In our last Annual Improvement Report we reported that it is difficult to judge the impact of the Council's intervention in helping to develop the local economy. The North Wales Economic Ambition Board has recently established a set of outcome measures to measure future progress but will not be able to report on these measures until next year. Many of these indicators lack baseline

data, and further measures may also be introduced to reflect the dynamic nature of economic development. This means that the Council will not be able to monitor progress against its economy-related outcomes robustly until the end of 2014-15.

- 15 In the meantime, however, the Council has started using third-party economic data, such as those produced by the Office for National Statistics, to monitor changes in the local economy. Although these statistics are influenced by a wide range of external factors, they can be a valuable source of information about local, regional and national economic issues. The statistics help the Council to identify areas where significant improvements are needed; for example, whilst the County has a relatively low proportion of working age residents with no qualifications, it has a higher-than average proportion of working age residents with qualifications at Level Two and above. So, whilst residents seeking work may have basic qualifications, many will be unable to compete effectively for vacancies which demand higher-level qualifications. A key challenge for the Council will be to develop a robust understanding of the health of the local economy and to use that understanding to influence the way it provides support.

- 16 Individual projects to develop the economy have continued to progress. The Council and its partners were successful in continuing to support a number of capital projects including the completion of work of the new bridge and harbour improvements at Foryd Harbour. The Pont y Ddraig pedestrian and cycle bridge, which spans the Clwyd estuary,

is part of a £10.5 million development and includes a public square and a quayside building to create a hub for the harbour, the surrounding dunes and beach areas.

- 17 The Council focused on supporting the delivery of projects identified within the seven Town and Area Plans, such as establishing a 'town team' within Ruthin to encourage businesses, visitor attractions and events to work in a more co-ordinated way. It also made progress in developing sustainable plans for funding future projects following the unsuccessful bid for Welsh Government funding from the Vibrant and Viable Places Fund to support initiatives within Rhyl.

### The Council has made some progress in improving performance in education but recognises that further progress is required at key stage 3

- 18 The Council's education Corporate Plan priority is to improve performance and the quality of school buildings. Overall the Council has assessed its progress as positive and considers that it is well placed to deliver its plans for 21st century schools, and that it has made good progress in delivering its Modernising Education programme. It has agreed an appropriate framework for school reorganisation and is delivering this framework through an effective process of area reviews. Estyn inspected 10 schools in Denbighshire during the 2012-13 academic year. The inspection outcomes compare favourably with those in other councils; over 90 per cent of the grades awarded were 'good' or 'excellent', and none were unsatisfactory.

- 19 Our review of education performance data shows that pupils in Denbighshire's primary schools generally achieved satisfactorily in 2013. Results in the Foundation Phase (seven year olds) and at Key Stage 2 improved in comparison with 2012 and at a rate broadly in line with the Wales average. In 2013, 84.9 per cent of seven-year-olds in Denbighshire schools achieved the Foundation Phase indicator, above the Wales average of 83 per cent and the eighth highest in Wales. At key stage 2, 86 per cent of pupils achieved the core subject indicator<sup>1</sup> compared with 84.3 per cent across Wales, the ninth highest. A comparison of performance in Denbighshire primary schools with that in schools across Wales with similar levels of deprivation shows that schools in Denbighshire performed broadly at the level that might be expected in both the Foundation Phase and at key stage 2.
- 20 Pupils' performance in secondary schools in 2013 was mixed. At key stage 3, the proportion of 14-year-old pupils achieving the core subject indicator, as measured by teacher assessment, has been below the Wales average in four of the last five years, with 75 per cent doing so in 2013. Though an improvement on 2012, the Wales average improved to 77 per cent, leaving Denbighshire's performance the sixth lowest in Wales. When compared with schools elsewhere in Wales with similar levels of deprivation, results in Denbighshire's schools were weak. The proportion of pupils achieving higher National Curriculum levels (Levels 6 and 7) in Denbighshire is markedly lower in English, Welsh and science than the Wales average.
- 21 The development of the North Wales regional school improvement service, 'GwE', which began its work in April 2013, has the potential to promote improved standards in schools. GwE also has the potential to improve the consistency of teacher assessment across North Wales, an issue that may affect the reliability of data about pupil performance at the Foundation Phase and key stages 2 and 3.
- 22 At the age of 16, however, the proportion of pupils in Denbighshire achieving the Level 2 Threshold (equivalent to five or more good GCSE passes) reached 85.7 per cent in 2013, well above the Wales average and the second highest in Wales. Performance against this measure has improved by almost 18 percentage points over the last four years whereas the Wales average has increased by only 11 percentage points. Five of the eight secondary schools in Denbighshire were in the top quartile when compared with schools elsewhere in Wales.
- 23 Nevertheless, the proportion of pupils whose GCSE qualifications included good grades in English or Welsh (first language) and mathematics fell slightly in 2013 to 53.4 per cent, only slightly better than the Wales average. The Council is aware that performance against this measure should be better. The proportion of 16-year-old school-leavers in Denbighshire who do not progress into further education, training or employment fell significantly in 2012, the latest year for which data is available, to 2.9 per cent, which is the fifth lowest among councils in Wales, and much better than the Welsh average of 4.2 per cent.

<sup>1</sup> To achieve the core subject indicator, a pupil must achieve the expected national curriculum level in English or Welsh (first language), mathematics and science.



- 24 Rates of attendance in both primary and secondary schools fell slightly during 2012/13. In primary schools, attendance compares favourably with the Wales average and attendance in individual schools compares well with similar schools elsewhere in Wales. In secondary schools, however, attendance rates fell slightly to 92.4 per cent, slightly below the Wales average. Comparisons with similar schools elsewhere in Wales indicate that, in six Denbighshire schools, attendance in 2012-13 did not compare well with that in similar schools across Wales.
- 25 Rates of permanent and longer fixed-term exclusions from Denbighshire secondary schools are low. During the 2012-13 academic year, the rate of fixed-term exclusions lasting six days or more was the second lowest in Wales. The rate of shorter fixed-term exclusions was slightly below the Wales average.
- 26 The Council has successfully pursued a policy of reducing the number of pupils for whom it maintains a statement of special education needs. The number of statements maintained has fallen year-on-year from 551 in January 2007 to 372 in 2013. This reduced demand for statements helps to ensure that specialist resources such as educational psychologists are able to make better use of their expertise and has also enabled the Council to ensure that those pupils who need statements receive one in a timely manner.
- 27 The modernisation of the Council's schools estate continues. Since 2009, a series of area reviews has resulted in a reduction in the number of primary schools that the Council maintains from 53 to 47. In addition, school buildings have been refurbished and, where necessary, extended. A survey of school buildings in 2009-10 concluded that just over one third of the Council's school buildings were in need of significant maintenance. Remedial work has been undertaken at some of the schools in this category and other schools feature among the Council's future modernisation plans. However, there remain at least eight schools where the quality of the facilities remains a significant issue.
- 28 The Council is responsible for ensuring an adequate supply of school places in an efficient manner. In January 2013, there were some 1,500 surplus primary school places (16.6 per cent of the total) distributed across the 47 schools. Though higher than Welsh Government target of 10 per cent, this is slightly below the Wales average of 17.6 per cent. Across the eight secondary schools, there were 1,244 surplus places, representing 16.2 per cent of the total. This is also below the Wales average of 18.7 per cent.



- 29 Net budgeted expenditure on education for 2013-14 was, at £5,135 per pupil, a little higher than the Wales average of £4,992 per pupil. The gross cost of primary school provision, taking account of both delegated and non-delegated funding, but excluding home-to-school transport, is slightly higher than the Wales average at £4,614 per pupil. The gross cost of secondary provision is a little lower than the Wales average at £5,081 per pupil.
- 30 The level of financial reserves held by schools in Denbighshire increased significantly during 2012-13 to £2.9 million. At £190 per pupil, this represents the fourth highest level of reserves amongst councils in Wales. However, the summary position masks significant variations between schools. More than a quarter of schools carried forward surpluses in excess of 10 per cent of their budgets into the 2013-14 financial year, but a further 19 per cent of schools began the year with deficits. In a small number of cases, longstanding deficits have begun to increase again after a period of gradual reduction.

### The condition of most roads in Denbighshire has improved

- 31 The Council has set itself ambitious targets to judge whether the quality of its roads is improving. Its new ambition is that, by 2017, less than five per cent of A and B roads and less than 10 per cent of C roads will be in overall poor condition. The Council made progress in 2012-13 against the majority of its targets for improving the condition of roads. Indicators for the condition of A and B roads improved but there has been little progress with C roads and 13.9 per cent remain in a poor condition.
- 32 As we reported in our last Annual Improvement Report one of the reasons for keeping roads in good condition is to improve safety. Road safety is now being actively monitored by the Council through measures for skid resistance, accidents per kilometre, take-up of cycle and safety training, and insurance claims. In 2012-13, all these indicators met the Council's targets and new performance measures will be reported in 2014 for the percentage of road defects repaired within target times and the percentage of key routes where a drop-kerb route is in place.
- 33 In 2012-13, £3.4 million was identified for major highways works as the condition of roads is a priority for the Council. However, the Council noted in its Annual Report that this is a priority area for improvement, as only 86 per cent of the planned capital highways maintenance programme was achieved in 2012-13.

## The Council continues to improve the wellbeing of its most vulnerable citizens

- 34 CSSIW concluded in its review and evaluation of the provision of social care services in 2012-13 that, overall, the Council continues to improve the wellbeing of its most vulnerable citizens. The report describes positive changes across both adult and children's services.
- 35 CSSIW found that the Council's emphasis on early intervention, prevention and reablement continues to enable more people to lead independent lives. As a result, fewer adults require hospital admission or residential care and the Council is able to offer a more cohesive service to families as their needs alter. More people are able to access continuing support in their own communities and the Council is placing increased emphasis on personal choice and control through the active promotion of direct payments and citizen-directed support.
- 36 The Council engages actively with people who use its services and CSSIW notes that there is evidence that users' views have been incorporated into service developments and improvements. Denbighshire provides good information, advice and guidance on its services, but further work is needed to help users understand the changed emphasis in adult services towards prevention and enablement.
- 37 In 2011-12, fewer adults than in previous years had their care plans reviewed and this was highlighted by CSSIW as an area for improvement. CSSIW's 2012-13 report confirms that the timeliness of reviews has improved; the Council's performance in this area is now amongst the best in Wales and this will support the Council in ensuring that people have the right service to meet their needs. However, the Council needs to establish clear measureable outcomes to assist with the evaluation of existing services.
- 38 The timeliness of assessments within children's services has also improved. This has led to improved access to services and better case management. Services for looked-after children continue to be an area for concern, however; the proportion of looked-after children in Denbighshire who receive health assessments and dental checks is amongst the lowest in Wales; the percentage with three or more placements has doubled over the last three years; and, fewer looked-after children than before have a plan for permanence in place within the required timescale. CSSIW reports that work is required to improve stability for these children and ensure that their healthcare and education needs are being met.
- 39 Further work is required to improve the provision of support to carers in Denbighshire. CSSIW reports that the Council has strategies in place to improve services and it is working with third-sector agencies and carers' groups in North Wales to provide better support.

- 40 The Council is committed to collaborative working and has been effective in leading and supporting a number of multi-agency initiatives. Partnership working has enabled the development and delivery of restructured services and this has led to improved quality of care in the county. The CSSIW notes that relationships with partner agencies are good at both individual and organisational levels, despite some challenges in engaging effectively at a strategic level with the new structures within the local health board.
- 41 A major focus of the UK Government's plans for welfare reform are changes to Housing Benefit, which aim to reduce annual expenditure by around £2.3 billion. These include reductions to Local Housing Allowance rates for private-rented-sector claimants and deductions in payments to social-sector tenants in under-occupied homes. Since April 2013, the Government has also introduced a cap on the total amount of benefit that working age people can receive. All of these changes will mean that millions of households in Great Britain will receive less in benefits, creating hard choices for them about how they use their money and manage on a day-to-day basis.
- 42 The Council and its partners delivered a suite of inter-related projects designed to tackle poverty and improve the quality of life for residents from the more deprived areas of the county. For example, families were provided with better access to health visitors, childcare and parenting programmes to better prepare children starting school. The Council also collaborated with partners to improve local access to welfare, housing and employment advice and guidance as a way of helping vulnerable people to secure the support they are entitled to. Work also continued on the West Rhyl Housing Improvement project and the Denbighshire Empty Homes Project, although the Council has had limited success so far in this area.
- 43 The average time taken by the Council to process new benefit claims is improving, falling from 15 days in 2011-12 to 12 days in 2012-13. This remains significantly better than the Welsh average of 20 days. The average time taken to process changes of circumstances remains the same as in 2011-12 at five days. This is marginally better than the Welsh average of six days.
- 44 Whilst speed of processing is important there are a number of other measures which help to give a full picture of how well the Council is processing housing benefit applications. Analysis of these measures, such as the percentage of new claims decided within 14 days for 2012-13, found that performance declined but, following action by management, these indicators have improved during 2013-14.

**The Council has worked effectively to keep Denbighshire's environment attractive but further work is required to reduce incidents of fly-tipping and improve resident satisfaction**

- 45 The Council uses a range of local indicators to judge success in raising awareness about issues such as litter and dog fouling as part of its work to achieve clean and tidy streets in Denbighshire. The 'Cleanliness Index', which measures overall cleanliness of highways and land within the county, is one of the best recorded in Wales. However, recorded incidents of fly-tipping were higher than the average for other councils in Wales, and the Council has identified this as an area for improvement.
- 46 The Council conducted a resident survey in 2013 which indicated a high degree of resident dissatisfaction (51 per cent) with the incidence of dog fouling in their locality. The Council has recently launched its anti dog-fouling campaign, 'Love your Pet, Respect the Environment'. The campaign was designed to urge dog owners to be responsible but also improve the way in which residents could report problems. The Council also employed a team of environmental enforcement officers who could respond to complaints as well as track down offenders and issue fines. Targeted enforcement operations have been carried out in a number of areas including the placement of signs, letter drops, talking to dog owners, issuing waste bags, and distributing postcards with telephone numbers to report incidents. Although

the campaign has increased people's awareness of the issue of dog fouling, it is too early to judge if resident satisfaction with this issue has improved.

**The Council has helped prevent many people from becoming homeless but its work to ensure access to affordable housing was less effective**

- 47 The Council's Improvement Priority for housing is broader than improving the quality of Council-owned stock. The Council also wants to work with partners to ensure an adequate supply of affordable homes, and support people who are or are about to become homeless.
- 48 In Denbighshire, there has been a similar trend to that elsewhere in Wales with a decreasing number of households accepted as homeless. However, the Council's Homeless Service has experienced an increase in the number of people seeking assistance since 2012. The Council's performance for taking action to prevent homelessness remained excellent in 2012-13 and was the best in Wales.
- 49 In 2012-13 the number of households accepted by the Council as homeless and in priority need was one of the lowest in Wales and consequently the number of homeless households in temporary accommodation was, on average, lower than in other councils in North Wales. The average time homeless households spent in temporary accommodation in Denbighshire was also low and represented top quartile performance amongst councils in Wales.

50 The Welsh Government has encouraged more action by the eight councils in Wales, including Denbighshire County Council, which failed to achieve the Welsh Quality Housing Standard (WHQS) by the original target of 2012. The Council originally believed that it would be fully compliant by the 2012 deadline. However, only 86 per cent of Council-managed social rented homes met the WHQS in 2012. The Council currently aims to achieve full compliance by April 2014.

51 The Council reported improvements in response times for urgent and non-urgent categories of repairs during 2012-13, but the Council's failure to consistently ensure full compliance with legislation relating to the completion of annual gas safety checks in its housing stock is a matter of concern which the Council is now taking steps to address.

52 The Council is taking action to try to ensure a sufficient supply of affordable homes and recognises that less than a quarter of the affordable housing estimated to be required was built in 2012-13. The 61 affordable homes completed in Denbighshire in each of the two years since 2011 was less in total than the 154 homes completed in 2010-11. The Council is taking action to try to ensure a sufficient supply of affordable homes and has set a target of 570 new homes to be completed between 2012 and 2017. However, progress during 2012-13 was below the Council's target. In addition to its own continuing work to make affordable properties available in the county, the Council is also working closely with other partners to identify a range of new initiatives

to increase the future supply of affordable housing but the current Housing Strategy does not set out clearly enough the roles and responsibilities for meeting the 2017 affordable homes target. The Council is currently conducting a review of how it will achieve its affordable homes target.

### The Council has delivered some efficiencies in modernising services but there has been a lack of progress by the Human Resources service in meeting targets

53 The Council defines success in delivering efficiencies and improved services for customers primarily by measuring positive customer feedback, the delivery of Outcome Agreements with the Welsh Government and the delivery of successful Council projects. The Council also reports on its progress as measured by the Welsh Government's statutory national indicators.

54 The Council has made some progress on its improvement objective to develop and improve services. A key indicator for this objective is the number of complaints to the Council and the speed of response to them. Both indicators improved in 2012-13 but the Council's ambition is for further improvements during the lifetime of the Corporate Plan. The 2013 Residents' Survey showed that, whilst there had been progress from the 2011 survey, only 43 per cent thought the Council was efficient and well run and 49 per cent thought the Council acted on the concerns of residents (up from 40 per cent in 2011).

55 A range of improvement projects linked to this objective made good progress in 2012-13. The Council has launched an improved website, made some progress on Town and Community Charters and introduced a range of measures to improve customer service standards and the quality of customer communications. The 2013 Residents' Survey showed over 70 per cent satisfaction with customer services across a range of performance indicators although only 53 per cent felt well informed about the services the Council provides.

56 For 17 of the 30 statutory Welsh Government national indicators Denbighshire's performance was in the top quartile for councils in Wales. The Council was fully successful for seven of the 10 outcome agreements set with the Welsh Government and partially successful for the other three outcomes.

57 A key service for delivering efficiencies is the Council's Corporate Human Resources (HR) service. The service has made limited progress in meeting its key internal targets during 2012-13. This lack of progress may hinder future progress in modernising services across the Council. The staff appraisal system process, for example, has been subject to delays in implementation and the consistency of its implementation does not appear to be monitored effectively. The HR service lacks a clear and robust understanding of the cost of its service, and how these compare to other councils. Staff surveys indicate that morale amongst the Corporate HR service is low. Outcome and performance information for the Corporate HR service is not comprehensive and key performance measures for the service are not in place. However, a recent internal audit follow-up report indicated that some progress is being made in addressing key areas for improvement.

## The Council's service challenge reviews and other measures to self- evaluate its performance are robust

### The Council's service challenge arrangements are good

- 58 The Council's Service Challenge arrangements have improved in 2013 and provide valuable annual opportunities for senior officers and key elected members to consider in detail the evidence relating to the performance of those services managed by each head of service. Well-managed preparatory meetings, at which the service managers are not present, consider detailed evidence of performance as well as matters such as sickness absence. Importantly, the preparatory meetings allow those present to set service performance in the context of known risks, and to narrow the focus of the subsequent challenge meeting to those matters that are most relevant. Where necessary, the preparatory meetings identify areas in which there is insufficient evidence and require heads of service to submit further information ahead of the service challenge meeting a few weeks later.
- 59 The preparatory meetings and the service challenges are conducted in a business-like but non-threatening manner. They form an important strand in the Council's self-evaluation process, enabling senior managers and elected members to understand more fully how well each service is performing against targets and in the national context, and to identify what needs to be done in areas that are performing less well.

### The Council's performance managements arrangements are soundly based

- 60 Our last Annual Improvement Report (May 2013) concluded that the Council's performance management arrangements were soundly based and developing satisfactorily, with clear and effective leadership by senior officers and councillors. This continues to be the case. The performance scrutiny committee and the strengthened service challenges receive performance information of consistent quality and in an easily understood format. In addition to the service challenges, the Council's Cabinet reviews performance on a six monthly basis.
- 61 Despite overall staffing numbers being reduced we found that the Council's central policy team continues to oversee, co-ordinate, and actively manage performance. This has enabled the Council to continue to deliver a well-understood and consistent system for performance management.
- 62 The results of our 2013 audit of the accuracy of a sample of the Council's performance indicators were satisfactory and we qualified none of the Council's performance indicators.



## The Council has met its improvement reporting duties required under the Measure

- 63 The Auditor General's November 2013 Improvement Assessment Letter concluded that the Council had discharged its improvement reporting duties under the Measure. In particular:
- the Council had published an assessment of its performance during 2012-13 in its *Annual Performance Report 2012/13* (the Report) before 31 October 2013;
  - the Report assessed the Council's performance in the preceding financial year (2012-13) and set out how the Council had sought to discharge its duties under the Measure;
  - the Report evaluated the Council's success in achieving its improvement objectives and expresses its view clearly;
  - the Report included a short section for citizens who wanted to provide feedback or make comments on the Report;
  - the Report included details of performance and comparisons as measured by the national statutory performance indicators; and
  - the Report included a short section on the ways in which the Council had sought to collaborate.

## The Council complied with financial reporting requirements

- 64 The auditor appointed by the Auditor General gave his opinion on the Council's accounts on 25 November 2013. [Appendix 3](#) gives more detail.



## The Council's planning for improvement and its arrangements to support improvement are good

### The use of performance standards helps to promote a consistent culture of ambition

- 65 The Auditor General's September 2013 Improvement Assessment Letter reported that the Council had discharged its improvement planning duties under the Measure. The Council published its *Year 2 Delivery Document* (the Plan), the annual review of its Corporate Plan 2012-17 (*An Excellent Council, close to the community*), in April 2013. The Plan complies with the requirements of the Measure to produce an annual Improvement Plan. The Plan is straightforward and concise, outlining what the Council wants to achieve and how it will go about it. The rationale for why Improvement Objectives (Outcomes) have been chosen is explained briefly but clearly. The Plan also explains what the Council aimed to do during 2013-14 and the measures it would use to evaluate success in achieving its objectives.
- 66 The Council consulted extensively during the development of its Corporate Plan. We agree with the Council's judgement that it was too soon to consult again about the Improvement Objectives for 2013-14. The measures the Council will use to evaluate success in achieving its objectives were therefore developed from measures in draft service plans for 2013-14 and discussions with the leadership team and elected Members.
- 67 The Council has rejected an approach to target-setting based on incremental progression of the previous year's performance in favour of an approach based on achievement of the 'excellence threshold'. Excellence thresholds are usually based on the Council's performance being amongst one of the top six performing councils in Wales. If over half the other councils in Wales are achieving better performance than in Denbighshire the Council will consider this a high priority for improvement.
- 68 The concept of the 'excellence threshold' is clearly understood by senior management and helps to instil a consistent level of ambition across the Council. However, our work on data quality suggests that some staff in individual services are less clear about the new approach to implementing corporate objectives and had difficulty in articulating how they would judge whether the people of Denbighshire would be better off at the end of the lifetime of the Corporate Plan.
- 69 The Council has clearly stated how its Improvement Objectives link to its medium-term financial plan. It has identified the resources available to support the delivery of Improvement Objectives in 2013-14, from both revenue funding and £6 million additional capital funding.

## The Council continues to make good progress in addressing the proposals for improvement identified in the previous Annual Improvement Report

70 The Council has made good progress in addressing the proposals for improvement in the Auditor General's 2013 Annual Improvement Report. In particular:

- The Council has strengthened its reporting arrangements for collaboration in its *Year 2 Delivery Document* and clearly sets out the status and outcomes of its collaboration objectives. The Year 2 Delivery Document identifies progress and setbacks on collaboration projects, most notably the decision by Denbighshire and Conwy councils not to further pursue the integration of their Public Protection Services.
- In the May 2013 Annual Improvement Report, we reported that the clarity of the links in the Corporate Plan between the Improvement Objectives and accompanying measures of success, baseline data and targets for improvement was not yet consistent across all seven Improvement Objectives. This remains the case in the *Year 2 Delivery Document*. However, the Council has made some progress in assessing whether anyone is better off as a result of its work. It has issued technical guidance to staff which defines indicators to measure success for all the Improvement Objectives and the 'excellence threshold' that the Council is aiming to achieve during the lifetime of the Corporate Plan.

71 As part of its own cycle of improvement, the Council has implemented all our proposals from our themed reviews of Technology, Information Management and Public Engagement.

## Corporate arrangements are in place to ensure compliance with the Council's Welsh Language Scheme

72 The role of the Welsh Language Commissioner was created by the Welsh Language (Wales) Measure 2011. It is expected that new powers to impose standards on organisations will come into force through subordinate legislation by the end of 2014. Until that time, the Commissioner will continue to review Welsh language schemes by virtue of powers inherited under the Welsh Language Act 1993.

73 The Commissioner works with all local authorities in Wales to inspect and advise on the implementation of language schemes. It is the responsibility of local authorities to provide services to the public in Welsh in accordance with the commitments in their language schemes. Every local authority is committed to providing an annual monitoring report to the Commissioner outlining its performance in implementing the language scheme. The Commissioner analyses every monitoring report, provides a formal response and collects further information as required.

74 The Council has taken steps to assess its provision in Welsh by means of a Mystery Shopper exercise. In order to derive maximum value from the process, the Council must take steps to improve and implement the Action Plan. The Council has been proactive in developing the number of staff who can provide a basic service through the medium of Welsh by introducing a mentoring scheme and working in partnership with local colleges. As opportunities to plan the workforce through recruitment are currently limited, the Council will need to invest more in Welsh language training and plan it effectively. The Council has undertaken to report on complaints on a quarterly basis and the new complaints officers provide a quarterly report to the language officer on complaints involving the Welsh language.

### The Council has complied with its duties under the Equality Act 2010

75 The Equality Act 2010 (Statutory Duties) (Wales) Regulations 2011 (the Act) sets out specific requirements for local authorities in Wales. The Act required councils to develop and publish Equality Objectives and a Strategic Equality Plan by 2012. There is significant alignment between the requirement to produce Equality Objectives and the 'Fairness' element that authorities must consider in setting Improvement Objectives under the Measure.

76 The Council's Improvement Objectives include an equality impact assessment, which includes information about the Council's equality work, particularly in relation to research, and reports on topics relating to protected groups and the Council's future plans for engagement with these groups. We believe the Council has met the requirements of the Act in setting its Improvement Objectives.

77 The Act requires local authorities to publish an Annual Equality report outlining progress on their strategic equality plans. The Denbighshire report was published before the statutory deadline of March 2013 and we believe that it met the requirements of the Act in reporting progress. It is the Council's intention that the next Corporate Plan in 2017 will incorporate the Strategic Equality Plan as part of the Council's commitment to addressing equality issues throughout its services.

### The Council has improved its processes for developing its Annual Governance Statement and is taking further action

78 My September 2013 Improvement Assessment Letter reported that the Council had been open to learning, as demonstrated by the improvements it had made to its arrangements for drafting its Annual Governance Statement for 2012-13. The Council had established a Governance Group to produce an action plan to bring together all of the key internal and external recommendations to support the completion of the Annual Governance Statement and was continuing to explore ways of making further improvements.

79 However the Council, through the work of the Governance Group, recognises it needs to take additional steps to obtain senior officers' and members' perspectives on the effectiveness of its governance arrangements. The current 2012-13 Annual Governance Statement makes very limited reference to governance controls in relation to commissioning, and the Council undertakes limited assurance work to assess the effectiveness of these controls. The Council recognises the need to strengthen arrangements for developing its Annual Governance Statement and is also taking action to improve partnership controls.

### The Council continues to manage its financial position effectively

80 The Council has clearly stated what its Improvement Objectives aim to achieve and has included broad details, linked to its Medium Term Financial Plan, on the resources available, both revenue and capital, to support their delivery. However, the Council now faces a significant future challenge following fundamental changes in the financial climate. Despite a very challenging grant settlement from the Welsh Government, the Council has set a balanced budget for 2014-15 which includes a 3.5 per cent increase in council tax and savings of £8.5 million. For the period 2015-18 further savings will be required. The Council recognises that it needs to keep all its options open and has begun to identify a range of possible measures which will then be subject to consultation during 2014.

81 The Chancellor of the Exchequer announced the 2010 spending review to Parliament on 20 October 2010. This formed a central part of the coalition government's response to reducing the national deficit, with the intention of bringing public finances into balance. The Chancellor's policies represent the largest reduction in public spending since the 1920s and come at a time when demographic changes and recession-based economic pressures are increasing demand for some services. To effectively plan their finances, authorities should analyse details of financial trends, appropriate benchmarking information, possible scenarios and their likely impact over the short, medium and long term. The current financial climate and the recent tough settlement for local government mean that good financial planning is critical to sustaining financial resilience.

82 The Wales Audit Office is currently examining authorities' financial health, their approach to budgeting and delivering on required savings, to provide assurance that authorities are financially resilient. This work will consider whether authorities have robust approaches in place to manage the budget reductions that they are facing to secure a stable financial position that enable them to continue to operate for the foreseeable future. The focus of the work is on the 2014-15 financial planning period and the delivery of 2013-14 budgets. This review will be completed early in 2014-15 and we will publish the findings in our next cycle of improvement assessment work.

## The Council is likely to make arrangements to secure continuous improvement for 2014-15

- 83 Based on the conclusions in the previous sections of this report the Auditor General for Wales believes that Denbighshire County Council is likely to meet the requirements of the Measure in making arrangements to secure continuous improvement.

# Appendices

## Appendix 1 Status of this report

The Local Government (Wales) Measure 2009 (the Measure) requires the Auditor General to undertake an annual improvement assessment, and to publish an annual improvement report, for each improvement authority in Wales. This requirement covers local councils, national parks, and fire and rescue authorities.

This report has been produced by the Wales Audit Office on behalf of the Auditor General to discharge his duties under section 24 of the Measure. The report also discharges his duties under section 19 to issue a report certifying that he has carried out an improvement assessment under section 18 and stating whether, as a result of his improvement plan audit under section 17, he believes that the authority has discharged its improvement planning duties under section 15.

Improvement authorities are under a general duty to 'make arrangements to secure continuous improvement in the exercise of [their] functions'. Improvement authorities are defined as local councils, national parks, and fire and rescue authorities.

The annual improvement assessment is the main piece of work that enables the Auditor General to fulfil his duties. The improvement assessment is a forward-looking assessment of an authority's likelihood to comply with its duty to make arrangements to secure continuous improvement. It also includes a retrospective assessment of whether an authority has achieved its planned improvements in order to inform a view as to the authority's track record of improvement. The Auditor General will summarise his audit and assessment work in a published Annual Improvement Report for each authority (under section 24).

The Auditor General may also in some circumstances carry out special inspections (under section 21), which will be reported to the authority and Ministers, and which he may publish (under section 22). An important ancillary activity for the Wales Audit Office is the co-ordination of assessment and regulatory work (required by section 23), which takes into consideration the overall programme of work of all relevant regulators at an improvement authority. The Auditor General may also take account of information shared by relevant regulators (under section 33) in his assessments.

## Appendix 2

### Useful information about Denbighshire and Denbighshire County Council

#### The Council

The Council spends approximately £236 million per year (2013-14 budget). This equates to about £2,500 per resident. In the same year, the Council also planned to spend £49.9 million on capital items.

The average band D council tax in 2012-13 was £1,052 per year. This increased by 2.34 per cent to £1,074 for 2013-14. Eighty-four per cent of Denbighshire's housing is in council tax bands A to D. The average band D council tax for England in 2013-14 was £370 higher than in Denbighshire at £1,444.

The Council is made up of 47 elected members who represent the community and make decisions about priorities and use of resources. The Leader is Councillor Hugh H Evans OBE. The political make-up of the Council is as follows:

- 8 Conservatives
- 13 Independent
- 8 Plaid Cymru
- 18 Labour

The Council's Chief Executive is Dr Mohammed Mehmet and his management team includes:

- Corporate Director: Modernisation and Wellbeing – Sally Ellis (retired February 2014). Nicola Stubbins is the new Director of Social Services.
- Corporate Director Economic and Community Ambition – Rebecca Maxwell
- Corporate Director: Learning and Communities – Hywyn Williams

## Other information

The Assembly Members for Denbighshire are:

- Ann Jones, Vale of Clwyd, Labour Party
- Darren Millar, Clwyd West, Conservative Party
- Ken Skates, Clwyd South, Labour Party

Regional Assembly Members are:

- Llyr Huws Gruffydd, Plaid Cymru
- Mark Isherwood, Welsh Conservative Party
- Aled Roberts, Welsh Liberal Democrats
- Antoinette Sandbach, Welsh Conservative Party

The Members of Parliament for Denbighshire are:

- Chris Ruane, Vale of Clwyd, Labour
- David Jones, Clwyd West, Conservative
- Susan Elan Jones, Clwyd South, Labour

For more information see the Council's own website at [www.denbighshire.gov.uk](http://www.denbighshire.gov.uk) or contact the Council at County Hall, Wynnstay Road, Ruthin, LL15 1YN. Telephone: 01824 706000.



## Appendix 3

### Annual Audit Letter

Councillor Hugh H Evans – Leader  
Mohammed Mehmet – Chief Executive  
Denbighshire County Council  
County Hall  
Wynnstay Road  
LL15 1YN

Dear Councillor Evans and Dr Mehmet

#### Annual Audit Letter

This letter summarises the key messages arising from my statutory responsibilities under the Public Audit (Wales) Act 2004 as the Appointed Auditor and my reporting responsibilities under the Code of Audit Practice.

#### The Council complied with its responsibilities relating to financial reporting and use of resources

It is the Council's responsibility to:

- put systems of internal control in place to ensure the regularity and lawfulness of transactions and to ensure that its assets are secure;
- maintain proper accounting records;
- prepare a Statement of Accounts in accordance with relevant requirements; and
- establish and keep under review appropriate arrangements to secure economy, efficiency and effectiveness in its use of resources.

The Public Audit (Wales) Act 2004 requires me to:

- provide an audit opinion on the accounting statements;
- review the Council's arrangements to secure economy, efficiency and effectiveness in its use of resources; and
- issue a certificate confirming that I have completed the audit of the accounts.

Local authorities in Wales prepare their accounting statements in accordance with the requirements of the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom. This Code is based on International Financial Reporting Standards. On 27 September 2013, the Appointed Auditor issued an unqualified audit opinion on the accounting statements confirming that they present a true and fair view of the Council's financial position and transactions. My report is contained within the Statement of Accounts. The key matters arising from the accounts audit were reported to members of the Corporate Governance Committee in my Audit of Financial Statements report on the 27 September 2013 and a more detailed report will follow in due course.

My consideration of the Council's arrangements to secure economy, efficiency and effectiveness has been based on the audit work undertaken on the accounts, as well as placing reliance on the work completed as part of the Improvement Assessment under the Local Government (Wales) Measure 2009. Overall, I am satisfied that the Council has appropriate arrangements in place. The Auditor General will highlight areas where the effectiveness of these arrangements has yet to be demonstrated or where improvements could be made when he publishes his Annual Improvement Report.

I am currently unable to certify the completion of the audit due to objections to the accounts raised by members of the public remaining open. I am currently in the process of formally concluding on these objections which enable me to certify the closure of the 2012-13 audit.

The financial audit fee for 2012-13 is currently expected to be in line with the agreed fee set out in the Annual Audit Outline.

Yours sincerely

**Derwyn Owen**

Director Financial Audit  
For and on behalf of the Appointed Auditor

25 November 2013

## Appendix 4

# Denbighshire County Council's improvement objectives and self-assessment

### The Council's improvement objectives

The Council is required by the Welsh Government to make plans to improve its functions and the services it provides. Each year it must publish these plans along with specific 'improvement objectives' that set out the key things that the Council intends to do to improve. The Council must do this as soon as possible after 1 April each year.

The Council published its improvement objectives for 2013-14 in April 2013. The details are available on the Council's website at [www.denbighshire.gov.uk](http://www.denbighshire.gov.uk). They are:

Key improvement objective priorities 2012-13	Key improvement objective priorities 2013-14
Developing the local economy.	Developing the local economy.
Improving performance in education and the quality of school buildings.	Improving performance in education and the quality of school buildings.
Improving our roads.	Improving our roads.
Vulnerable people are protected and able to live as independently as possible.	Vulnerable people are protected and able to live as independently as possible.
Clean and tidy streets.	Clean and tidy streets.
Ensuring access to good quality housing.	Ensuring access to good quality housing.
Modernising the council to deliver efficiencies and improve services for our customers.	Modernising the council to deliver efficiencies and improve services for our customers.

### The Council's self-assessment of performance

The Council's self-assessment of its performance during 2012-13 can be found at [www.denbighshire.gov.uk](http://www.denbighshire.gov.uk).

Wales Audit Office  
24 Cathedral Road  
Cardiff CF11 9LJ

Tel: 029 2032 0500

Fax: 029 2032 0600

Textphone: 029 2032 0660

E-mail: [info@wao.gov.uk](mailto:info@wao.gov.uk)

Website: [www.wao.gov.uk](http://www.wao.gov.uk)

Swyddfa Archwilio Cymru  
24 Heol y Gadeirlan  
Caerdydd CF11 9LJ

Ffôn: 029 2032 0500

Ffacs: 029 2032 0600

Ffôn Testun: 029 2032 0660

E-bost: [info@wao.gov.uk](mailto:info@wao.gov.uk)

Gwefan: [www.wao.gov.uk](http://www.wao.gov.uk)



24 Cathedral Road / Heol y Gadeirlan  
Cardiff / Caerdydd  
CF11 9LJ  
Tel / Ffôn: 029 20 320500  
Fax / Ffacs: 029 20 320600  
Email / Epost: [wales@wao.gov.uk](mailto:wales@wao.gov.uk)  
[www.wao.gov.uk](http://www.wao.gov.uk)

Dr Mohammed Mehmet  
Chief Executive  
Denbighshire County Council  
County Hall  
Wynnstay Road  
Ruthin, LL15 1YN

Date 12<sup>th</sup> May 2014  
Pages 1 of 3

Dear Mohammed

**2014-15 Performance Audit Work and Fees**

I am writing to confirm the programme of performance audit work at Denbighshire County Council for 2014-15 and the associated fee for that work. This work is delivered under the Local Government (Wales) Measure 2009 (the Measure), the Local Government Act 1999 and the Public Audit (Wales) Act 2013.

In addition to the Auditor General's audit and assessment work under the Measure, we will undertake a programme of Local Government Studies as set out in the Auditor General's letter of 28 April 2014. These and the specific elements of our audit and assessment work are set out in the table below. Please note that each year's work programme and performance audit fee covers one cycle of Improvement Assessment work. However, as this work does not fit neatly within a period starting on 1 April and ending on 31 March, the delivery of the annual work programme may overlap financial years.

<b>WAO performance audit work 2014-15</b>	
<b>Improvement assessment work</b>	
<b>'Improvement Plan' Audit</b>	Audit of discharge of duty to publish an improvement plan.
<b>'Assessment of Performance' Audit</b>	Audit of discharge of duty to publish an assessment of performance.
<b>Financial Management</b>	Financial position work focussing on financial health, the effectiveness of

	budget setting arrangements, financial governance systems and progress/track record in delivering on required savings.
<b>Governance</b>	Local scope to be confirmed
<b>Performance Management</b>	Local scope to be confirmed
<b>Local Government Studies</b>	
<b>Joined up working to address Health and Social Care demand – Independence of Older People.</b>	This study will focus on supporting older people to maintain their independence outside of the health and care system by assessing how effective ancillary services are at supporting them to live independently.
<b>Delivering with less – Leisure Services</b>	This study will track the levels of investment in leisure services over the last few years using the methodology developed for the 2013-14 delivering with less study on environmental health services.
<b>Financial position summary</b>	This study will summarise local work on councils' financial position and give an all-Wales picture of financial resilience.
<b>Local work</b>	The focus and scope of local work will be agreed following further discussion with the Authority and based on an assessment of issues relevant to the Authority's programme of improvement

The table below sets out our fees for performance audit work and includes the fee for financial audit work for completeness. The indicative total fee for April 2014 to March 2015 is £272,146 and will be charged in equal instalments between April 2014 and March 2015. If during the course of the audit and assessment any additional work is identified as being necessary, this may incur additional fees. Similarly should an issue arise of such importance that we consider a special inspection to be an appropriate response, we will charge an additional fee to conduct such an inspection.

<b>Fee April 2014 to March 2015</b>	<b>£</b>
Fee for performance audit work	£93,882
Fee for financial audit work	£178,264
<b>Total Fee</b>	<b>£272,146</b>

In addition to the programme of work set out above the Wales Audit Office may be undertaking work at local government bodies in the course of our programme of value for money studies laid before the National Assembly for consideration by its Public Accounts Committee. As many of these studies cut across the boundaries between different parts of the Welsh public sector, they will often be relevant to our work in local government. This work is funded separately by the Welsh Government consolidated fund and therefore does not incur a fee.

The Auditor General also has a duty under the Measure in relation to the coordination of the regulatory functions of the Wales Audit Office and relevant regulators, those being the Appointed Auditor; the Care and Social Services Inspectorate Wales (CSSIW); Estyn; and the Welsh Language Commissioner. The range of performance audit work that the Wales Audit Office and relevant regulators will carry out will be set out in more detail in a Work Plan and Timetable (WP&T) which will be reviewed every quarter.

We will publish an Annual Improvement Report for Denbighshire Council summarising our work and that of relevant regulators, and will issue reports (and/or letters) setting out the findings of audit and assessment work. As required by the Measure, these will be copied to Welsh Ministers. We will also provide local feedback on our Studies. As some of our studies are only carried at a selection of authorities, you may not receive a local report: instead we will publish a national report, the recommendations of which will apply to all local authorities. Where appropriate, both our improvement studies and national work may result in shared learning seminars or other outputs.

Should you wish to discuss any element of this work please do not hesitate to contact me or Huw Lloyd Jones ([huw.lloydjones@wao.gov.uk](mailto:huw.lloydjones@wao.gov.uk)) or Gwilym Bury ([gwilym.bury@wao.gov.uk](mailto:gwilym.bury@wao.gov.uk))

Yours sincerely

A handwritten signature in black ink, appearing to read 'Jane Holownia', written in a cursive style.

Jane Holownia

WAO Group Director



**Adroddiad i'r: Llywodraethu Corfforaethol**

**Dyddiad y Cyfarfod: Dydd Mercher 2 Gorffennaf 2014**

**Aelod/Swyddog Arweiniol: Cyng. Barbara Smith/ Alan Smith**

**Awdur yr Adroddiad: Nicola Kneale**

**Teitl: Adolygiad o'r Gofrestr Risg Gorfforaethol, Ebrill 2014**

---

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

- 1.1 Adolygiad ffurfiol o Gofrestr Risg Gorfforaethol mis Ebrill 2014. Mae'r oedi yn yr adroddiad yn cyrraedd y pwyllgor hwn o ganlyniad i'r ffaith ei fod wedi'i hepgor o'r rhaglen gwaith i'r dyfodol, sy'n cael ei adolygu er mwyn atal hepgoriadau yn y dyfodol.

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

- 2.1 Cyflwyno'r fersiwn ddiweddaraf o'r Gofrestr Risg Gorfforaethol i Lywodraethu Corfforaethol, fel y cytunwyd yn Sesiwn Briffio'r Cabinet.

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

- 3.1 Bod Llywodraethu Corfforaethol yn nodi'r dileadau, yr ychwanegiadau a'r diwygiadau i'r Gofrestr Risg Gorfforaethol, a gyda chyfle i wneud sylwadau.

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

- 4.1 Mae'r Gofrestr Risg Gorfforaethol yn galluogi'r cyngor i reoli tebygolrwydd ac effaith risgiau drwy werthuso effaith unrhyw weithredoedd cyfredol i liniaru risg, a chofnodi dyddiadau cau a chyfrifoldebau ar gyfer gweithredoedd pellach er mwyn sicrhau rheolaeth well.
- 4.2 Mae'r Gofrestr Risg Gorfforaethol wedi'i datblygu gan y Tîm Gweithredu Corfforaethol a'r Cabinet, a nhw sy'n berchen arni hefyd. Mae'r broses ar gyfer adolygu'r Gofrestr Risg Gorfforaethol fel a ganlyn:
- Anogir gwasanaethau i adolygu eu cofrestr risg ddwywaith y flwyddyn (yn unol â methodoleg Rheoli Risg Gorfforaethol) cyn bob adolygiad o'r Gofrestr Risg Gorfforaethol, a hefyd cyn eu cyfarfodydd Herio Perfformiad Gwasanaethau. Bydd unrhyw faterion neu ymholiadau yn cael eu trafod yn y cyfarfodydd Herio Perfformiad Gwasanaethau.
  - Mae'r Tîm Gwelliant Corfforaethol yn dadansoddi'r holl gofrestrau risg y gwasanaethau i ganfod risgiau sy'n arwyddocaol yn gorfforaethol neu unrhyw themâu risg sy'n ymddangos ar draws y gwasanaethau.

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

yn angenrheidiol ar gyfer cyflawni'r blaenoriaethau corfforaethol.

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

6.1 Mae cost datblygu, monitro ac adolygu'r Gofrestr Risg Gorfforaethol yn cael eu cynnwys yn y cyllidebau cyfredol.

## **7. Beth yw'r prif gasgliadau'r Asesiad o Effaith ar Gydraddoldeb (AEC) a gynhaliwyd ar y penderfyniad? Dylai'r templed AEC wedi'i lenwi gael ei atodi fel atodiad i'r adroddiad.**

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

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

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

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

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

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

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

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

11.1 Deddf Llywodraeth Leol 2000

Mae tudalen hwn yn fwriadol wag

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

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

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

to managing the programme is good.

- xiii) Removal of DCC020: *'The risk that the review by The Commission on Public Service Governance and Delivery negatively affects Denbighshire'*. Given that we don't foresee any short-term changes and are continuing to go about our business as usual, we think our position is quite stable and currently does not pose a risk. Further clarity will be achieved once the Welsh Government responds to the Williams Report. This might result in the risk being reinstated, but it's not something that we need to respond to at the moment.
  
- xiv) DCC021: *'The risk that effective partnerships and interfaces between BCU Health Board and Denbighshire County Council (DCC) do not develop, leading to significant misalignment between the strategic and operational direction of BCU and DCC'*. It's acknowledged here that a new Chief Executive has been appointed for BCUHB, but is yet to take up his post. Until in post, this risk level remains the same. Regional meetings between the North Wales local authorities and the Health Board are arranged from 6 May.

Mae tudalen hwn yn fwriadol wag



## Denbighshire County Council

Register Owner: Corporate Executive Team

[LINK TO POLICY STATEMENT](#)

Updated: 13.03.2014

[LINK TO RISK GUIDANCE](#)

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

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

managers are not effectively supported

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

No further action identified

N/A

N/A

Tudalen 74

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

<b>DCC011</b>								
<i>Environmental</i>	Rebecca Maxwell	Significant disruption to core services. Serious injury or fatality due to road network closure, poisoning or infection. Reputational risk to the council if unable to deal with issues.	<b>D2</b>	The control environment in this area is the joint Emergency Planning Unit (Denbighshire & Flintshire). We also continually review our procedures for winter highways maintenance (e.g. this was the subject of a report to Communities Scrutiny Committee in October 2012, and we recently reviewed our emergency call-out rota system). Secondary rota established and operational. Service disruption is minimised through our arrangements for business continuity and emergency planning, with separate Directors responsible for Response, Recovery, and Information	<b>D2</b>	Training for CET and SLT in tactical and strategic emergency response to be delivered	Rebecca Maxwell	30-Jun-14
<b>The risk of a severe weather, contamination, or public health event.</b> Services plan for the impact of expected seasonal variations in weather, but severe weather events can impact on service delivery. Similarly, we put plans in place to monitor food, water and air quality, but any contaminations can impact on service delivery, as would any viral pandemics.	<u>Lead Member(s):</u> Cllr David Smith					Vulnerable People mapping project	Phil Gilroy	30-Sep-14
						Major incident handbook to be updated	Rebecca Maxwell	30-Apr-14
<b>DCC012</b>								
<i>Legislative / Regulatory</i>	Hywyn Williams	Reputational damage. Potential intervention by the WG. Significant resources may be required to be diverted to deliver immediate and substantial change. Regulation we're subject to includes: CSSIW (Care and Social Services Inspectorate Wales); WAO office; Estyn; HSE (Health & Safety Executive); ICO (Information Commissioner's Office)	<b>C2</b>	The corporate performance management framework (PMF) is the main control in this area. New system of "excellence thresholds" and "interventions" now used which is more robust than traditional target setting. Training on PMF has been delivered to Members, with a specific sessions for Cabinet and Performance Scrutiny. Head of Business Improvement and Modernisation, and Corporate Programme Office Manager meet monthly with Wales Audit Office to understand and respond to their concerns. Regulators sit on our Service Performance Challenges now. Research & Intelligence team creates Needs & Demands, and Comparative reports to enhance self awareness for services.	<b>D3</b>	Annual governance statement and corporate self assessment have been integrated into a single document, 'Delivering Good Governance & Continuous Improvement'. First draft will be shared with our Regulators and will go to Corporate Governance Committee, ahead of publishing by the June deadline	Alan Smith	30-Jun-14
<b>The risk of a significantly negative report(s) from external regulators.</b>	<u>Lead Member(s):</u> Cllr Hugh Evans							
<b>Tudalen 76</b>								
<b>DCC013</b>								
<i>Partnership / Contractual</i>	Hywyn Williams	Capital liabilities. Property Liabilities. Reduction in levels of service provided to the community, or increased revenue costs to continue delivery. Reputation damage to the council.	<b>B2</b>	Council is entitled to representation on Boards, and Heads of Service providing strategic advice to facilities. Heads of Service advise DCC on any emerging issues and risks. Financial support and/or subsidies being provided. Processes are in place to manage relationships between DCC and Arm's Length organisations.	<b>B3</b>	Internal Audit's Due Diligence report due imminently to provide a steer regarding how to improve controls around Arm's Length organisations	Rebecca Maxwell	30-Apr-14
<b>The risk of significant financial and reputational liabilities resulting from management of some Arm's Length organisations.</b> Liabilities could arise due to financial, HR, safeguarding, or general management problems	<u>Lead Member(s):</u> Cllr Huw Jones							

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

<b>DCC017</b> <i>Technological</i> <b>The risk that the ICT framework does not meet the organisation's needs.</b> If we do not invest in appropriate technology at the right price, this will hinder our capability to deliver the efficiencies and savings required for the Modernisation priority. The main risk here is around the organisation taking decisions to invest in IT infrastructure that is not effective in reducing overheads. This can happen for two reasons: 1) we don't understand the current and necessary ICT requirements, and 2) we don't accurately predict the anticipated benefits. This risk might also occur as a missed opportunity to capitalise on effective technology, if we unaware of the capability that <del>some technology can bring</del> .	Mohammed Mehmet  <u>Lead Member(s):</u> Cllr Barbara Smith	If we decide to invest in technology that does not sufficiently contribute to our Modernisation agenda, not only are we likely to miss our targets, but we're also going to waste money.	<div style="background-color: red; color: white; width: 30px; height: 30px; margin: 0 auto;">B2</div>	ICT Strategy (developed in conjunction with SLT) agreed. ICT Business Partners work with services to forecast their ICT needs. All decisions for investment taken at Strategic Investment Group. The Programme Office has introduced a Stage Review Group that offers some quality assurance for business cases, prior to their being passed on for approval. IT Steering Group established to meet quarterly. ICT now part of the Business improvement & Modernisation service, and structures will be realigned to provide a more customer-focussed service. Hardware rollout almost complete, and software rollout planned and paid for. There's financial presence on the Modernisation Board, and a financial plan in place for the ICT strategy.	<div style="background-color: orange; color: black; width: 30px; height: 30px; margin: 0 auto;">C2</div>	Telephony strategy to be developed  (Approved) migration to MS Enterprise to be delivered	Alan Smith  Alan Smith	31.03.2015  31.03.2015
	<b>DCC018</b> <i>Professional / Managerial</i> <b>The risk that programme and project benefits are not fully realised.</b> The council currently does consistently deliver all benefits from projects. Some of the issues include: inconsistent management; resistance to change; staff behaviour; and processes not changing as planned. Programmes to be mindful of here include: Economic & Community Ambition, Modernisation, Social Services Modernisation, Modernising Education, Coastal Facilities, and Rhyl Going Forward.	Mohammed Mehmet  <u>Lead Member(s):</u> Cllr Barbara Smith	The forecast changes that were alluded to in business cases do not materialise and, hence, neither do their benefits	<div style="background-color: red; color: white; width: 30px; height: 30px; margin: 0 auto;">B2</div>	Corporate Programme Office established. HR resource identified to support restructures. Business Partners involved in workforce planning have identified a need for Change management training, and resource has been identified to support this. Programme Manager in place for the Modernisation priority (to co-ordinate projects). Establishment of a Modernisation Board, which can track projects and their benefits. Introduction of Verto to record benefit tracking. Change toolkits, together with factsheets, are on the intranet to support managers. HR Business Partners are now allocated to every major change to ensure consistency. Finance remove savings from budgets to ensure financial savings are delivered.	<div style="background-color: red; color: white; width: 30px; height: 30px; margin: 0 auto;">B2</div>	Develop 'Denbighshire Way Change Management guidance' to deal with the staff and management requirements to facilitate change.  Take a proposal to CET regarding a process for managing the delivery of project benefits  Updates from all Boards to go to CET every three months	Linda Atkin  Alan Smith  Mohammed Mehmet

<p>DCC019</p> <p><b>Economic &amp; Financial</b></p> <p>The risk that the availability of the Welsh Government's match-funding contribution towards Band A of the 21st Century Schools programme is not in line with the timescales for Denbighshire's work programme. Projects within the 21st Century Schools Programme are planned throughout the financial year, but rely on match-funding being available from the Welsh Government. If the WG's financial contribution is not received as anticipated, it can affect the timing of each project, which can impact on the overall programme.</p> <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Tudalen 79</p>	<p>Hywyn Williams</p> <p><u>Lead Member(s):</u></p> <p>Cllr Eryl Williams</p>	<p>Delays in delivering the 21st Century Schools Programme.</p>	<p style="background-color: red; color: white; text-align: center;">B2</p>	<p>Regular liaison with WG and Strategic Investment Group to review progress of individual projects and the overall financial management of the longterm programme to identify potential risks in funding profiles. Establishment of a formal programme approach to manage the delivery of the 21st Century Schools programme. Projects over £5m in value are scoped out according to the Welsh Government's five case business model at development stage. Project at £5m or less are scoped out inline with the Welsh Government's business justification case documentation. Modernising Education Programme Board established, to meet monthly in the short term. SRO, Head of Service and Programme Manager have arranged for regular gateway review support from WG's Programme and Projects department (independent from WG's 21st Century Schools team). The recent gateway review - an independent report - was positive. Strategic Outline Case for Rhyl New School, Strategic Outline Case and Outline Business Case for Ysgol Glan Clwyd and the Business Justification Cases for Ysgol Bro Dyfrdwy and Bodnant Community School all approved by Welsh Government.</p>	<p style="background-color: orange; color: black; text-align: center;">C2</p>	<p>No further action identified</p>	<p>N/A</p>	<p>N/A</p>
<p>DCC020</p> <p><b>Partnership / Contractual</b></p> <p>The risk that effective partnerships and interfaces between BCU Health Board and Denbighshire County Council (DCC) do not develop. This could leading to significant misalignment between the strategic and operational direction of BCU and DCC</p>	<p>Nicola Stubbins</p> <p><u>Lead Member(s):</u></p> <p>Cllr Bobby Feeley</p>	<ul style="list-style-type: none"> <li>• inefficient services</li> <li>• gaps in service provision</li> <li>• delays/failure to deliver joint projects</li> <li>• reputational damage</li> </ul>	<p style="background-color: red; color: white; text-align: center;">B2</p>	<p>Establishment of a Denbighshire Health and Social Care Board, of which BCU is a member. DCC presence in Key CPG meetings and Regional Boards implementing integrated approaches. New Chief Executive of BCUHB appointed but not yet in post.</p>	<p style="background-color: red; color: white; text-align: center;">B2</p>	<p>Regional meetings between north Wales authorities and BCUHB scheduled</p>	<p>Nicola Stubbins</p>	<p>06-May-14</p>
						<p>No further action identified</p>	<p>N/A</p>	<p>N/A</p>

Mae tudalen hwn yn fwiadol wag



<b>Adroddiad i'r:</b>	<b>Pwyllgor Llywodraethu Corfforaethol</b>
<b>Dyddiad y Cyfarfod:</b>	<b>2 Gorffennaf 2014</b>
<b>Aelod/Swyddog Arweiniol:</b>	<b>Barbara Smith, Aelod Arweiniol dros Foderneiddio a Pherfformiad</b>
<b>Awdur yr Adroddiad:</b>	<b>Ivan Butler, Pennaeth Archwilio Mewnol</b>
<b>Teitl:</b>	<b>Cynllun Gwella Llywodraethu</b>

---

## 1. Am beth mae'r adroddiad yn sôn?

Mae'r adroddiad hwn yn darparu cynllun gwella i'r Pwyllgor o ganlyniad i'r adolygiad o fframwaith llywodraethu'r Cyngor ar gyfer 2013/14.

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

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

## 3. Beth yw'r argymhellion?

Bod y Pwyllgor yn ystyried ac yn rhoi sylwadau ar y Cynllun Gwella Llywodraethu, gan ofyn am unrhyw sicrwydd ychwanegol y mae'n teimlo sy'n angenrheidiol ar unrhyw un o'r camau gweithredu o fewn y Cynllun.

## 4. Manylion yr Adroddiad

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.

4.2 Mae Grŵp Llywodraethu'r Cyngor yn rheoli proses y Fframwaith Llywodraethu Corfforaethol a datblygiad '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 Atodiad 1 yn dangos y Cynllun Gwella Llywodraethu sy'n codi o'r adolygiad o drefniadau llywodraethu'r Cyngor ar gyfer 2013/14. Adeg ysgrifennu'r adroddiad hwn, nid yw rhai o'r camau gwella, cyfrifoldebau ac

amserlenni arfaethedig wedi eu cwblhau. Bydd diweddariad ar lafar yn cael ei ddarparu i'r pwyllgor ar y meysydd hyn yng nghyfarfod y pwyllgor, gan y bydd y Cynllun wedi'i gwblhau erbyn hynny.

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

Nid oes angen penderfyniad ar gyfer yr adroddiad hwn. Er nad yw'r Cynllun Gwella Llywodraethu yn cyfrannu'n uniongyrchol at Flaenoriaethau Corfforaethol, mae llywodraethu da yn chwarae rhan sylweddol yn y Cyngor a'i drefniadau ar gyfer cyflawni amcanion corfforaethol. Mae'r Fframwaith Llywodraethu Corfforaethol yn cynnwys asesiad o berfformiad gweithredol ac ariannol y Cyngor, trefniadau llywodraethu, ymgysylltu â'r gymuned ac ati, pob yn cael eu cyfeirio tuag at gyflawni'r Blaenoriaethau Corfforaethol.

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

Nid oes unrhyw gostau ynghlwm wrth yr adroddiad hwn a'r unig effaith ar wasanaethau yw lle mae'r adroddiad yn nodi meysydd ar gyfer gwella; fodd bynnag, bydd gwasanaethau eisoes yn ymwybodol o'r rhain a dylent fod yn cynnwys hyn yn eu cynlluniau gwasanaeth.

#### **7. Beth yw prif gasgliadau'r Asesiad o Effaith ar Gydraddoldeb (EqIA) a gynhaliwyd ar y penderfyniad? Dylai'r templed EqIA wedi'i lenwi gael ei atodi fel atodiad i'r adroddiad.**

Nid oes angen penderfyniad neu gynnig ar gyfer newid ar gyfer yr adroddiad hwn, felly nid oes unrhyw effaith ar bobl sy'n rhannu nodweddion gwarchoddedig.

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

Mae'r Cynllun Gwella Llywodraethu yn ffurfio rhan o'r ddogfen 'Darparu llywodraethu da a gwelliant parhaus' a drafodwyd yn y:

- Tîm Gweithredol Corfforaethol ar 17 Mawrth 2014
- Pwyllgor Llywodraethu Corfforaethol ar 15 Ebrill 2014
- Briffio'r Cyngor ar 28 Ebrill 2014
- Uwch Dîm Arweinyddiaeth ar 1 Mai 2014
- Pwyllgor Llywodraethu Corfforaethol ar 21 Mai 2014

Hefyd cafodd ei ddsbarthu i aelodau'r Cabinet a Swyddfa Archwilio Cymru ar gyfer sylwadau.

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

Nid oes unrhyw oblygiadau ariannol ynghlwm wrth yr adroddiad hwn.

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

Y prif risg ynghlwm â'r adroddiad hwn yw peidio â chyflawni'r Cynllun Gwella Llywodraethu neu welliannau penodol a gynhwysir ynddo. Byddai hyn yn golygu nad yw gwendidau yn nhrefniadau llywodraethu'r Cyngor yn gwella, a allai arwain at

feirniadaeth gan y rheolydd allanol a'r effaith ar enw da'r Cyngor fel sefydliad sy'n cael ei lywodraethu'n dda.

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

Nid oes angen gwneud penderfyniad ar gyfer yr adroddiad hwn, ond mae gofyniad o dan Fesur Llywodraeth Leol (Cymru) 2011 i'r 'pwyllgor archwilio' oruchwylio trefniadau llywodraethu corfforaethol y Cyngor.

Mae tudalen hwn yn fwriadol wag

## Appendix 1 – Governance Improvement Action Plan

Improvement Area	Action	Responsibility	Timescale
<b>Significant Governance Issues</b>			
<p>In future, we accept that some services and functions will stop or be transferred to others who may be able to deliver them at lower or no extra cost. We need to review our governance arrangements to take account of this, ensuring that public money is spent wisely and the public continues to receive good services and value for money.</p>	<p>We will be implementing new monitoring arrangements during 2014 to ensure that any third party or arms-length service providers have robust governance arrangements, and will implement scrutiny arrangements to monitor their financial and operational performance.</p> <p>The Head of Internal Audit produced a ‘good practice’ report in May 2014 that CET will discuss in July 2014 to agree the way forward.</p>	<p>Initial review by Head of Internal Audit, which will lead to further action plan for implementation of new arrangements</p>	<p>Preliminary report by 31 May 2014, with further action plan for implementation of new arrangements to be agreed</p>

Improvement Area	Action	Responsibility	Timescale
<p>Our Internal Audit provided a critical report on the procurement of construction services that highlighted several weaknesses, including that our procurement strategy is out of date. Internal Audit's recent follow up of the improvement action plan shows that, although we have developed a new draft strategy and Contract Procedure Rules, progress with improvement is slow and behind schedule.</p> <p>Also in procurement, we are involved in the development of some key projects but the creation of the National Procurement Service has also added to the complexity of procurement arrangements and led to a loss of staff to the new organisation, with potential further staffing losses.</p> <p>We are aware that we are entering a critical period in relation to strategic procurement and the major changes that we are making; therefore, we will need to keep this area under regular review to ensure that the identified improvements are implemented and that the strategic programmes of change are successfully delivered.</p>	<p>There is a separate action plan for dealing with the issues raised in the Internal Audit report.</p> <p>Response requested from Head of Finance &amp; Assets</p>		

Improvement Area	Action	Responsibility	Timescale
<b>Partnership Governance</b>			
<p>We are aware that not all partnerships use the toolkit, so, as part of a comprehensive review of the partnership landscape, we will need to review the guidance to ensure that it is user-friendly and effective. This review will also provide a greater knowledge and understanding of partnership activity and develop a better corporate understanding of the challenges of operational partnerships.</p>	Practice-based review of governance toolkit	Head of Business Improvement & Modernisation	Oct 2014
<p>Our partnership governance toolkit provides guidance on defining each partner's role in the partnership, line management responsibilities for staff supporting the partnership and legal status but does not provide clear guidance on the roles of partnership board members. We have already identified the need to review this guidance, as we are aware that it is not always used by partnerships.</p>	Practice-based review of governance Toolkit	Head of Business Improvement & Modernisation	Oct 2014
<b>Constitution</b>			
<p>The Council's main governance guidance is provided in our comprehensive Constitution that clearly sets out respective roles and responsibilities of elected members and officers, particularly relating to governance, although it needs to be updated to take account of changed role titles and elected member portfolios.</p>	<p>A new Model Constitution has been developed for Wales. The Council's current Constitution will be reviewed in light of the new model and updated to reflect changed job titles and portfolios.</p>	Head of Legal & Democratic Services	<p>Constitution working group to meet by September 2014, with further reports to Corporate Governance Committee and Council. New model to be adopted by 31 December 2014</p>

Improvement Area	Action	Responsibility	Timescale
Our codes of conduct for elected members and employees form part of induction training, although we need to ensure that we have arrangements in place to ensure that we regularly raise awareness of these codes.	Elected members have been provided with several training sessions on the Code of Conduct and refresher sessions are made available each year. A strategy for maintaining awareness among employees will be developed.	Head of Legal & Democratic Services	Refresher sessions for elected members will be provided before March 2015. An awareness raising strategy for employees will be implemented by March 2015
<b>Equalities</b>			
We are continuing our work to improve awareness of equalities issues. But Internal Audit's staff survey found that there is still work to do to improve awareness of corporate equalities arrangements.	The Corporate Equalities Group will discuss the Internal Audit report at its July 2014 meeting. At the same meeting, the Group will consider for approval a new e-learning training module on equalities issues. Following approval, this new module will be rolled out.	Head of Business Improvement & Modernisation	Autumn 2014
Equality Impact Assessments are now mainstreamed into our decision-making process, but we still need to improve the quality of some of these assessments and will be introducing a quality assurance process during 2014.	The Head of Internal Audit will carry out a quality control review of a sample of Equality Impact Assessments during 2014/15 and feed back to Heads of Service to improve the quality of future Assessments.	Head of Internal Audit	Commencing September 2014
<b>Policy Framework</b>			
We have an anti-fraud and corruption policy, although we have not reviewed and updated this since 2006.	This policy has been reviewed and a new draft policy will be presented to Corporate Governance Committee	Head of Legal & Democratic Services	November 2015



Improvement Area	Action	Responsibility	Timescale
Our environmental policy is out of date and we do not have a formal corporate approach to environmental management that would help to demonstrate our values and ethics by committing to ensuring that we help to maintain, enhance and use natural resources sustainably now and in the future.	There are currently no plans to revisit our existing policies; however, sustainability is now a core principle in our community planning and is reflected in Denbighshire's draft Well-being Plan, due for publication in November 2014.	Head of Business Improvement & Modernisation	Nov 2014
<b>Regulations &amp; Standards</b>			
We have an independent and objective internal audit service providing assurance across the whole range of DCC's services, including partnerships. The service has not yet carried out the required self-assessment review to ensure that it complies with the new Public Sector Internal Audit Standards but plans to do this early in 2014/15.	Self-assessment review against Public Sector Internal Audit Standards and report outcome to Corporate Governance Committee	Head of Internal Audit	Review complete by 30 September 2014 and reported to next available committee meeting

Improvement Area	Action	Responsibility	Timescale
<p>We have made significant improvements in information governance during the year; however, we recognise that we still have a lot of work to do but have identified this in our Information Management Strategy, for example:</p> <ul style="list-style-type: none"> <li>• develop e-learning modules for several areas of training;</li> <li>• improve the policy framework in areas such as email, records management and information security;</li> <li>• digitise catalogues and collections in our archives;</li> <li>• enhance our Publication Scheme and Disclosure Logs;</li> <li>• revise and embed the corporate retention schedule; and</li> <li>• achieve PSN accreditation for 2014.</li> </ul>	<p>We will continue to implement the Information Strategy</p> <p>E-learning on data protection is now in place</p> <p>Other actions on-going</p>	<p>Head of Business Improvement &amp; Modernisation</p>	<p>Roll out to be completed September 2014</p>
<b>Elected Members</b>			
<p>Our performance management framework for Cabinet and individual Lead Members assesses their performance and helps to address improvement needs; however, we need to assess how well this works in practice and whether it is leading to improvement.</p>	<p>Head of Internal Audit to discuss an approach to this with the Leader</p>	<p>Head of Internal Audit/Leader</p>	<p>31 July 2014</p>
<p>Scrutiny Committees produce annual reports on their work to County Council but the Corporate Governance Committee's self-assessment highlighted that it had not formed part of this performance monitoring arrangement in recent years.</p>	<p>Head of Internal Audit to work with Chair of Corporate Governance Committee to produce report on the Corporate Governance Committee's performance and effectiveness for 2013-14</p>	<p>Head of Internal Audit/Chair Corporate Governance Committee</p>	<p>Draft report by 31 July 2014</p>

Improvement Area	Action	Responsibility	Timescale
<b>Stakeholder Engagement</b>			
<p>Our latest resident survey highlighted that most people do not feel well-informed about the Council's performance and a range of other issues asked in the survey.</p>	<p>We will continue to publish user-friendly performance information on the Council's website.</p> <p>The Council's Corporate Communications Strategy Year 2 Action Plan includes various actions that will improve communication with residents to raise more awareness. This Strategy forms part of the team's service plan for 2014/15.</p>	<p>Head of Business Improvement &amp; Modernisation</p> <p>Various</p>	<p>On-going</p> <p>Various timescales but Strategy to be implemented fully by 31 March 2015</p>
<p>The value of effective business engagement is only just being recognised, which means that we have a lot more work to do before we see the benefits that result from recent developments. We need to ensure that effective opportunities exist for businesses to provide feedback on the delivery of the Economic and Community Ambition Strategy / Programme and identify what we need to do to make engagement with the Council a valuable activity for businesses. In the longer term, as key stakeholders in the delivery of the overall vision for our economy, we need to increase business participation in making decisions about how we plan and invest Council budgets and resources for greatest economic effect.</p>	<p><b>Response requested from Head of Housing &amp; Community Development</b></p>		

Improvement Area	Action	Responsibility	Timescale
<p>Our Strategic HR service is working on a major programme to improve its performance since being identified as a significant governance issue in last year's Annual Governance Statement. The service has also reported its progress on implementing improvements arising from an adverse Internal Audit report to the Corporate Governance Committee. There are still concerns over the delivery of the improvement programme.</p>	<p>Internal Audit review to assess progress with improvement. Report to Corporate Governance Committee on outcome of review.</p>	<p>Head of Internal Audit</p>	<p>Review complete by 30 June 2014 and reported to next available committee</p>

<b>Adroddiad i'r:</b>	<b>Pwyllgor Llywodraethu Corfforaethol</b>
<b>Dyddiad y Cyfarfod:</b>	<b>2 Gorffennaf 2014</b>
<b>Aelod/Swyddog Arweiniol:</b>	<b>Julian Thompson-Hill, Aelod Arweiniol dros Gyllid ac Asedau</b>
<b>Awdur yr Adroddiad:</b>	<b>Ivan Butler, Pennaeth Archwilio Mewnol</b>
<b>Teitl:</b>	<b>Dilyniant Archwilio Mewnol – Ysgol y Bendigaid Edward Jones</b>

---

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

Mae'r adroddiad hwn yn rhoi manylion i'r Pwyllgor am waith dilynol Archwilio Mewnol yn Ysgol y Bendigaid Edward Jones yn dilyn ei adroddiad cychwynol ym mis Hydref 2013.

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

Gofynnodd y Pwyllgor Llywodraethu Corfforaethol i adroddiad dilynol Archwiliad Mewnol ar gyfer Ysgol y Bendigaid Edward Jones gael ei gyflwyno i'r Pwyllgor i roi sicrwydd bod gwelliannau wedi'u gwneud yn yr Ysgol.

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

Y Pwyllgor i ystyried a rhoi sylwadau ar adroddiad dilynol Archwilio Mewnol.

## **4. Manylion yr Adroddiad**

Cyhoeddodd Archwilio Mewnol adroddiad ar Ysgol y Bendigaid Edward Jones ym mis Hydref 2013, er gwaethaf rhoi sgôr sicrwydd 'canolig', roedd yn cynnwys cynllun gweithredu gyda 13 o feysydd ar gyfer gwella. Roedd y Pwyllgor Llywodraethu Corfforaethol yn arbennig o bryderus y dylai'r Ysgol fynd i'r afael â'i bwysau ariannol a gofynnwyd i'r adroddiad dilynol Archwiliad Mewnol gael ei gyflwyno i'r Pwyllgor.

Mae adroddiad dilynol Archwiliad Mewnol (ynghlwm) yn dangos bod yr Ysgol wedi gwneud gwelliannau sylweddol ers yr adroddiad archwilio gwreiddiol. Mae llawer o'r materion a godwyd bellach wedi derbyn sylw, er bod rhai terfynau amser wedi'u methu. Fodd bynnag, nid yw'r Ysgol wedi datblygu ei chynllun adfer ariannol yn llwyr eto. Mae wedi cynhyrchu rhagamcanion tair blynedd ac wedi gweithio i leihau'r diffyg a ragwelir, ond bydd yn dal i fod â diffyg ym Mawrth 2015. Mae gan y Cyngor weithdrefnau cadarn ar waith i reoli sefyllfaoedd o'r fath ac mae'r Ysgol wedi gofyn am ganiatâd i gael diffyg trwyddedig ac yna bydd yn datblygu cynllun adfer ariannol.

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

Nid oes angen penderfyniad ar gyfer yr adroddiad hwn.

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

Nid oes unrhyw gostau yn gysylltiedig â'r adroddiad hwn.

**7. Beth yw prif gasgliadau'r Aseiad o Effaith ar Gydraddoldeb (EqIA) a gynhaliwyd ar y penderfyniad? Dylai'r templed EqIA wedi'i lenwi gael ei atodi fel atodiad i'r adroddiad.**

Nid oes angen penderfyniad neu gynnig ar gyfer newid ar gyfer yr adroddiad hwn, felly nid oes unrhyw effaith ar bobl sy'n rhannu nodweddion gwarchoddedig.

**8. Pa ymgynghoriadau a gynhaliwyd gydag Archwilio ac eraill?**

Ddim yn berthnasol - adroddiad er gwybodaeth yn unig.

**9. Datganiad y Prif Swyddog Cyllid**

Ddim yn berthnasol - adroddiad er gwybodaeth yn unig.

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

Ddim yn berthnasol - adroddiad er gwybodaeth yn unig.

**11. Pŵer i wneud y Penderfyniad**

Ddim yn berthnasol - adroddiad er gwybodaeth yn unig.

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

---

# Internal Audit Follow Up

## Blessed Edward Jones – First Follow Up

June 2014



Samantha Davies      01824706982  
samantha.davies@denbighshire.gov.uk

Ivan Butler CMIIA, MBA, Head of Internal Audit Services

## Purpose & Scope of Review

We issued our Internal Audit report in October 2013 giving a medium assurance rating and raising 13 moderate issues.

We have now followed up the action plan included with our report to assess progress with implementing the agreed improvements.

## Audit Opinion





While there has considerable progress in implementing the action plan, there are still some issues to be addressed and some target dates have been missed. Although the School has addressed elements of the issue/risks that we identified in our original review, in some cases these have not addressed over-arching issue/risks as yet.

In particular, the Council's Corporate Governance Committee has expressed a wish to view the School's financial recovery plan, but this has not yet been fully developed.

As there are still some issues outstanding, our assurance rating remains as 'medium'. We will carry out a further follow up visit in July 2014 to assess progress.

Tudalen 96

## 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



## Action Plan Progress

**Audit Review of:** Blessed Edward Jones –First Follow up

**Date:** June 2014

**Action Plan Owner:** Head Teacher

### Corporate Risk/Issue Severity Key

	<b>Critical</b> – Significant CET and Cabinet intervention
	<b>Major</b> – intervention by SLT and/or CET with Cabinet involvement
	<b>Moderate</b> – Containable at service level. Senior management and SLT may need to be kept informed

Risk/ Issue No.	Risk/Issue	Agreed Action Responsibility & Timescale	Current Status	Further Action Needed
1. Tudalen 97	The composition of the Governing Body is incomplete as there is a vacancy for a LEA governor and also a vacancy for the clerk to the governors.	Propose to advertise externally for a Clerk to the Governors. Job description & person specification being prepared. <b>Business &amp; Finance Manager – Jan 2014</b>	<b>Complete</b> New Clerk to Governors appointed 3 March 2014. List of training dates made available to her and training to be undertaken as soon as possible.	
		Chair of Governors aware of the vacancy and approach to be made to prospective governor <b>Chair of Governors – Feb 2014</b>	<b>Not complete – overdue</b> Chair of Governors has been ill so no action taken to date.	New Clerk made aware of the vacant position and will take forward with Deputy Chair in next few weeks.
2.	Not all governors have been checked by the Disclosure and Barring Service (DBS) and other qualification/disqualification checks, including Bankruptcy and Company Directors Disqualifications need to be completed for all governors.	DBS packs requested again for three new governors 4 December 2013 <b>Personal Assistant to Head teacher – Jan 2014</b>	<b>Complete</b> Final DBS response received from Governor on 3 June 2014 and sent to HR Direct to update records.	
		Other checks to be investigated and undertaken for all governors when new Clerk is appointed. <b>New Clerk to the Governors – Feb 2014</b>	<b>Not complete</b>	New Clerk to review existing records and arrange for other checks to be investigated and completed. Further update June 2014 prior to next Governors meeting.

Risk/ Issue No.	Risk/Issue	Agreed Action Responsibility & Timescale	Current Status	Further Action Needed
3.	Not all members of staff who can influence financial decisions have completed declaration of business interest forms.	Review of declaration of business interest forms to be undertaken and omissions completed. <b>Personal Assistant to Head Teacher – Jan 2014</b>	<b>Complete</b> Declaration of Business interest for Business & Finance Manager now completed.	
4.  Tudalen 98	Governing Body minutes need to be improved in the following areas:			
	<ul style="list-style-type: none"> <li>They do not include who is to complete actions and by when.</li> </ul>	New Clerk to receive training to ensure actions agreed in meetings are allocated to members with estimated time for completion. <b>New Clerk to the Governors – asap after appointment by Feb 2014</b>	<b>In progress – Overdue</b> Training for new Clerk arranged for 9 June 2014.	
	<ul style="list-style-type: none"> <li>They lack evidence to show the Governing Body acting as a critical friend.</li> </ul>	New Clerk to receive training to ensure that discussions which evidence Governing Body acting as critical friend are documented correctly. <b>New Clerk to the Governors – asap after appointment by Feb 2014</b>	<b>Complete</b> Discussion with new Clerk on 9 April 2014 regarding requirement to evidence in the minutes where Governors have questioned, queried and challenged proposed actions to evidence their role as ‘critical friend’.	Future minutes will include evidence of role as ‘critical friend’.
	<ul style="list-style-type: none"> <li>They do not show that the Governing Body discusses and agrees all action.</li> </ul>	Minutes template to be revised to include update/ review of actions from previous meetings <b>New Clerk to the Governors – asap after appointment by Feb 2014</b>	<b>Complete</b> New template in place for recording of minutes.	

Risk/ Issue No.	Risk/Issue	Agreed Action Responsibility & Timescale	Current Status	Further Action Needed
	<ul style="list-style-type: none"> <li>Some minutes were missing</li> </ul>	Review of minutes for last 12 months to be undertaken by new Clerk when in post and copies taken for the minutes file  <b>New Clerk to the Governors - asap after appointment by Feb 2014</b>	<b>Complete</b> Review completed and all copies held in minutes file.	
	<ul style="list-style-type: none"> <li>The Chair had not signed most sets of minutes that we saw.</li> </ul>	When new Clerk appointed, all minutes will be reviewed to ensure that they are all signed by the Chair.  <b>New Clerk to the Governors - asap after appointment by Feb 2014</b>	<b>Complete</b> All minutes now signed. Clerk to Governors aware of need to complete this task for each set of minutes in future.	
5.  Tudalen 99	The financial management document is out of date and does not agree with the current committee list. There is also no reference to health and safety in the terms of reference for the H&S and Resources Committee.	Governance of Financial Management Policy to be reviewed and amended in line with recent personnel/ process changes. <b>Business &amp; Finance Manager/ Finance Committee - May 2014</b>	<b>Complete</b> Policy reviewed and amended by Business & Finance Manager with reference to 'Keeping Your Balance' guidance. Policy to be submitted to full Governing Body for approval at July meeting.	
		Terms of Reference for H & S and Resources Committee to be revised for consideration at next meeting. <b>New Clerk/ Finance committee - May 2014</b>	<b>Complete</b> Terms of reference for H&S and Resources Committee reviewed by Clerk and will be submitted to full Governing Body for approval at July meeting.	



Risk/ Issue No.	Risk/Issue	Agreed Action Responsibility & Timescale	Current Status	Further Action Needed
7.	The number of stand-alone invoices that the School processes is too high, increasing the risk of unauthorised purchases and making budgetary control more difficult.	<p>List of annualised expenditure in key areas, e.g. supply, general maintenance, etc. being compiled to identify areas for improvement</p> <p><b>Finance &amp; Administration Officer/ Business &amp; Finance Manager - on-going to Mar 2014</b></p>	<p><b>Complete</b> Purchase orders raised for annualised contracts e.g. photocopier rental, subscriptions, etc. New member of staff to take responsibility for this process from September 2014 due to redundancy of existing post holder. Proactis training arranged for 23 June with on-going monitoring and coaching to continue to reduce standalone invoices to a minimum. Only exception will be for invoices from supply agencies for daily supply which will continue to be keyed as standalone invoices as per discussion with the Proactis team.</p>	
		<p>Purchase orders to be raised in April 2014 for all areas identified above so that invoices received can be matched upon receipt.</p> <p><b>Finance &amp; Administration Officer/ Business &amp; Finance Manager - Apr 2014</b></p>	<p><b>Completed</b> See above</p>	
		<p>All employees to be reminded to follow authorisation process for all planned expenditure.</p> <p><b>Head Teacher - Feb 2014</b></p>	<p><b>Complete</b> Members of staff advised via SIMS bulletin each month and details of process available in the staff room for reference purposes.</p>	

Tudalen 101

Risk/ Issue No.	Risk/Issue	Agreed Action Responsibility & Timescale	Current Status	Further Action Needed
		Data to be obtained from Proactis team to monitor % improvement during the year. <b>Business &amp; Finance Manager – December 2013 (ongoing data collection)</b>	<b>In progress – on-going action</b> Initial report obtained to act as baseline data.	Termly review to be undertaken by Business & Finance Manager from April onwards.
8.	Invoices are not always paid promptly, increasing the risk of suppliers claiming interest for late payment.	System to be set up by Business & Finance Manager/Finance Officer to chase progress of purchase orders on a weekly basis to ensure that invoices are received and paid within terms of credit agreement <b>Business &amp; Finance Manager / Finance &amp; Administration Officer – Mar 2014</b>	<b>Complete</b> New system introduced for all Proactis orders keyed after 1 April, 2014. Orders to be filed separately until goods have been received and fully invoiced. Outstanding orders reviewed on a weekly basis with non-receipt of items and/or invoice to be chased, with all contact being documented for audit purposes. Process will be monitored at regular intervals by the Business & Finance Manager.	
9.	There are some security and access issues that the School needs to address:			
	<ul style="list-style-type: none"> <li>Pupils are gaining access through an exit only route.</li> </ul>	Reception staff to be advised not to allow pupil access to the admin corridor without checking that members of staff are available. <b>Business &amp; Finance Manager – Dec 2013</b>	<b>Complete</b> Reception staff have been advised not to allow pupils access to the admin corridor, as stated. Regular reminder emailed to staff by Business & Finance Manager.	

Tudalen 102

Risk/ Issue No.	Risk/Issue	Agreed Action Responsibility & Timescale	Current Status	Further Action Needed
Tudalen 103	<ul style="list-style-type: none"> <li>Reception staff allow pupils access to the administration corridor through a fob-controlled door without checking whether there is someone there to meet them. This allows pupils access to unlocked offices.</li> </ul>	<p>Members of staff occupying offices along the administration corridor issued with keys for their offices. All members of staff advised that offices should be locked when empty.</p> <p><b>Business &amp; Finance Manager - Dec 2013</b></p>	<p><b>Complete</b> Members of staff advised to lock the admin office and examinations office when empty. Improvements have been made since the Internal Audit visit. Reminder memo to be sent to members of staff each month. Business &amp; Finance Manager will deal with future breaches as and when they occur. Monthly reminder added to 'To Do' list within Lotus Notes.</p>	
	<ul style="list-style-type: none"> <li>Fob keys are not reconciled, so members of staff no longer working at the School may still have access.</li> </ul>	<p>Caretaker to complete audit of fobs each term, making adjustments as and when required. Records to be maintained as evidence</p> <p><b>Caretaker - From Jan 2014</b></p>	<p><b>Complete</b> Caretaker has diary entry to review at end of every half-term and remove staff leavers.</p>	
	<ul style="list-style-type: none"> <li>It would be beneficial to carry out a risk-assessment of the Reception area, where there is no CCTV, panic alarms and limited exits</li> </ul>	<p>Risk assessment of the Reception area to be completed as advised</p>	<p><b>Not yet completed</b></p>	<p>Risk assessment of the Reception area to be completed</p>
10.	<p>Members of staff do not have any formal guidance on lone working, which is needed for robust health and safety management.</p>	<p>Lone working policy to be developed using DCC guidance and made available to all staff. Hardcopy to be issued to key holders (Caretakers/ Head teacher/ Business &amp; Finance Manager)</p> <p><b>Business &amp; Finance Manager - Feb 2014</b></p>	<p><b>Not complete- overdue</b> No action taken to date.</p>	

Risk/ Issue No.	Risk/Issue	Agreed Action Responsibility & Timescale	Current Status	Further Action Needed
11.	The School's CCTV in the 'Inclusion' Room may be breaching Data Protection requirements relating to overwriting and retention of data.	Review of School's CCTV usage and data retention requirements to be undertaken. Data Protection guidance to be reviewed and CCTV policy to be prepared for Governing Body approval.  <b>Business &amp; Finance Manager / Governing Body - Mar 2014</b>	<b>In progress - overdue</b> CCTV guidance obtained from ICO website but policy not yet written.	Develop guidance on CCTV usage for Governing Body approval.
12.	Computers are not always locked when members of staff leave them unattended, increasing the risk of unauthorised access and data security breaches	All members of staff to be reminded, monthly, to lock computers when they are left unattended.  <b>Personal Assistant to Head Teacher/Head Teacher - Jan 2014</b>	<b>Complete</b> Monthly reminder to be circulated via SIMS Bulletin to members of staff from May 2014.	
13.	The School's admissions policy does not fully comply with the Welsh Admissions Code 2013, as there are some areas of the Code that are missing from the admissions policy.	Admissions policy to be reviewed in consultation with the Welsh Admissions Code 2013 and amended as required.  <b>Admissions Committee / New Clerk to the Governors - Mar 2014</b>	<b>Complete</b> Amendments to policy and application form to be submitted to Governors at July meeting for approval	

Tudalen 104



## Report Recipients

---

- Head teacher
- Chair of Governors
- Finance & Business Manager
- Corporate Director: Customers
- Head of Education
- Head of Customers and Education Support
- Business & Performance Manager
- School Effectiveness Performance Officers
- Education Planning and Resource Manager
- Complaints & Investigations Officer
- Business Support Officer
- Strategic Procurement Manager
- Lead Member for Education
- Chair of Performance Scrutiny Committee
- Performance Scrutiny Member
- Lead Member for Finance and Assets
- Corporate Governance Committee
- Ward Members

## Key Dates

---

Review commenced	April 2014
Review completed	April 2014
Reported to Corporate Governance Committee	3 July 2014
Proposed date for next follow up review	July 2014

Mae tudalen hwn yn fwriadol wag

## Rhaglen Gwaith i'r Dyfodol y Pwyllgor Llywodraethu Corfforaethol

3 Medi 2014		Eitemau Sefydlog		
	1	Materion a Gyfeiriwyd gan y Pwyllgorau Archwilio	Cydlunydd Archwilio, Rhian Evans	
	2	Adroddiadau Rheoleiddio Allanol Diweddar a Dderbyniwyd	Gwella Corfforaethol, Alan Smith/Craig Berry Cynghorydd Barbara Smith	
	3	Adroddiad Cynnydd Archwilio Mewnol	Pennaeth Archwilio Mewnol, Ivan Butler / Cyng Julian Thompson-Hill	
	4	Adborth o'r Cyfarfod Cydraddoldeb Corfforaethol – adroddiad ar lafar	Y Cynghorwyr Martyn Holland/Hugh Evans	
	5	Rhaglen Gwaith i'r Dyfodol		
		<b>Adroddiadau</b>		
Tudalen 107	6	Adroddiad Blynyddol y Pwyllgor Llywodraethu Corfforaethol	Cadeirydd / Cynghorydd J. McLellan	
	7	Proses Gyllideb 2015/16	Pennaeth Cyllid ac Asedau, Paul McGrady	
	8	Adroddiad Diweddarau Rheoli Trysorlys 1 2014/15	Pennaeth Cyllid ac Asedau, Paul McGrady	
	9	Caffael Gwasanaethau Adeiladu - Diweddariad	Pennaeth Archwilio Mewnol, Ivan Butler	
	10	Adroddiad ar Gwmnïau Hyd Braich	Pennaeth Archwilio Mewnol, Ivan Butler	
	11	Taliad ariannol i rai sy'n Gadael Gofal - Diweddariad	Pennaeth Archwilio Mewnol, Ivan Butler	
	12	Adroddiad Archwilio Mewnol Adnoddau Dynol Strategol - Diweddariad	Pennaeth Archwilio Mewnol, Ivan Butler	
	13	Adroddiad o gwynion a gafwyd	Pennaeth Cwsmeriaid a Chymorth Addysg / J. Walley	
	14	Adolygiad Blynyddol o Weithredu'r Broses Gwynion	Pennaeth Cwsmeriaid a Chymorth Addysg / J. Walley	

## Rhaglen Gwaith i'r Dyfodol y Pwyllgor Llywodraethu Corfforaethol

<b>29 Medi 2014</b>		<b>Eitemau Sefydlog</b>		
		<b>Adroddiadau</b>		
	1	Cymeradwyo'r Datganiad Cyfrifon 2013/14	Pennaeth Cyllid ac Asedau, Paul McGrady / Cynghorydd J. Thompson-Hill	
	2	Llythyr Asesu Gwelliant Swyddfa Archwilio Cymru	Pennaeth Cyllid ac Asedau, Paul McGrady / Cynghorydd J. Thompson-Hill	
	3	Cynllun Gwella Llywodraethu	Pennaeth Archwilio Mewnol, Ivan Butler	
<b>5 Tachwedd 2014</b>		<b>Eitemau Sefydlog</b>		
Adalen 108	1	Materion a Gyfeiriwyd gan y Pwyllgorau Archwilio	Cydlynnydd Archwilio, Rhian Evans	
	2	Adroddiadau Rheoleiddio Allanol Diweddar a Dderbyniwyd	Gwella Corfforaethol, Alan Smith/Craig Berry Cynghorydd Barbara Smith	
	3	Adroddiad Cynnydd Archwilio Mewnol	Pennaeth Archwilio Mewnol, Ivan Butler / Cyng Julian Thompson-Hill	
	4	Adborth ar y Cyfarfod Cydraddoldeb Corfforaethol – adroddiad ar lafar	Y Cynghorwyr Martyn Holland / Hugh Evans	
	5	Rhaglen Gwaith i'r Dyfodol		
		<b>Adroddiadau</b>		
	6	Proses Gyllideb 2015/16	Pennaeth Cyllid ac Asedau, Paul McGrady	
	7	Materion Arolwg Staff	Pennaeth Archwilio Mewnol, Ivan Butler	
<b>17 Rhagfyr 2014</b>		<b>Eitemau Sefydlog</b>		

## Rhaglen Gwaith i'r Dyfodol y Pwyllgor Llywodraethu Corfforaethol

	1	Materion a Gyfeiriwyd gan y Pwyllgorau Archwilio	Cydlynnydd Archwilio, Rhian Evans	
	2	Adroddiadau Rheoleiddio Allanol Diweddar a Dderbyniwyd	Gwella Corfforaethol, Alan Smith/Craig Berry Cynghorydd Barbara Smith	
	3	Adborth o'r Cyfarfod Cydraddoldeb Corfforaethol – adroddiad ar lafar	Y Cynghorydd Martyn Holland/Hugh Evans	
	4	Rhaglen Gwaith i'r Dyfodol		
		<b>Adroddiadau</b>		
	5	Proses Gyllideb 2015/16	Pennaeth Cyllid ac Asedau, Paul McGrady	
	6	Cynllun Gwella Llywodraethu	Pennaeth Archwilio Mewnol, Ivan Butler	
Tudalen 109				
		<b>Eitemau Sefydlog</b>		
	1	Materion a Gyfeiriwyd gan y Pwyllgorau Archwilio	Cydlynnydd Archwilio, Rhian Evans	
	2	Adroddiadau Rheoleiddio Allanol Diweddar a Dderbyniwyd	Gwella Corfforaethol, Alan Smith/Craig Berry Cynghorydd Barbara Smith	
	3	Adroddiad Cynnydd Archwilio Mewnol	Pennaeth y Gwasanaethau Archwilio Mewnol, Ivan Butler/ Cyng Julian Thompson-Hill	
	4	Adborth o'r Cyfarfod Cydraddoldeb Corfforaethol – adroddiad ar lafar	Y Cynghorydd Martyn Holland/Hugh Evans	
	5	Rhaglen Gwaith i'r Dyfodol		
		<b>Adroddiadau</b>		
	6	Proses Gyllideb 2015/16	Pennaeth Cyllid ac Asedau,	

## Rhaglen Gwaith i'r Dyfodol y Pwyllgor Llywodraethu Corfforaethol

			Paul McGrady	
	7	Datganiad Strategaeth Rheoli'r Trysorlys a Dangosyddion Darbodus 2015/16	Pennaeth Cyllid ac Asedau, Paul McGrady	
	8	Adroddiad Diweddarau Rheoli Trysorlys 2014/15	Pennaeth Cyllid ac Asedau, Paul McGrady	
	9	Adolygiad Cofrestr Risg Corfforaethol	Gwella Corfforaethol, Alan Smith	
<b>25 Mawrth 2014</b>		<b>Eitemau Sefydlog</b>		
Tudalen 110	1	Materion a Gyfeiriwyd gan y Pwyllgorau Archwilio	Cydlynnydd Archwilio, Rhian Evans	
	2	Adroddiadau Rheoleiddio Allanol Diweddar a Dderbyniwyd	Gwella Corfforaethol, Alan Smith/Craig Berry Cynghorydd Barbara Smith	
	3	Adborth o'r Cyfarfod Cydraddoldeb Corfforaethol – adroddiad ar lafar	Y Cynghorydd Martyn Holland/Hugh Evans	
	4	Rhaglen Gwaith i'r Dyfodol		
		<b>Adroddiadau</b>		
	5	Proses Gyllideb 2015/16	Pennaeth Cyllid ac Asedau, Paul McGrady	
	6	Cynllun Gwella Llywodraethu	Pennaeth Archwilio Mewnol, Ivan Butler	
	7	Strategaeth Archwilio Mewnol	Pennaeth Archwilio Mewnol, Ivan Butler	
	8	Adroddiad o gwynion a gafwyd	Pennaeth Cwsmeriaid a Chymorth Addysg / J. Walley	
<b>20 Mai 2015</b>		<b>Eitemau Sefydlog</b>		
	1	Materion a Gyfeiriwyd gan y Pwyllgorau Archwilio	Cydlynnydd Archwilio, Rhian	

## Rhaglen Gwaith i'r Dyfodol y Pwyllgor Llywodraethu Corfforaethol

			Evans	
	2	Adroddiadau Rheoleiddio Allanol Diweddar a Dderbyniwyd	Gwella Corfforaethol, Alan Smith/Craig Berry Cynghorydd Barbara Smith	
	3	Adroddiad Cynnydd Archwilio Mewnol	Pennaeth y Gwasanaethau Archwilio Mewnol, Ivan Butler /Cyng Julian Thompson-Hill	
	4	Adborth o'r Cyfarfod Cydraddoldeb Corfforaethol – adroddiad ar lafar	Y Cynghorydd Martyn Holland/ Hugh Evans	
	5	Rhaglen Gwaith i'r Dyfodol		
		<b>Adroddiadau</b>		
	6	Proses Gyllideb 2015/16	Pennaeth Cyllid ac Asedau, Paul McGrady	

Tudalen 11

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 neilltuo ar eu cyfer cyn gynted ag y bo'n ymarferol.

Adolygwyd 22/05/2014 CIW

Mae tudalen hwn yn fwiadol wag