

At: Aelodau'r Pwyllgor Llywodraethu  
Corfforaethol

Dyddiad: 15 Mai 2015

Rhif Union: 01824712575

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Annwyl Gynghorydd

Fe'ch gwahoddir i fynychu cyfarfod y **PWYLLGOR LLYWODRAETHU CORFFORAETHOL, DYDD MERCHER, 20 MAI 2015** am **9.30 am** yn **YSTAFELL BWYLLGORA 1A, NEUADD Y SIR, RHUTHUN**.

Yn gywir iawn

G Williams  
Pennaeth Gwasanaethau Cyfreithiol a Democrataidd

## AGENDA

### 1 YMDDIHEURIADAU

### 2 DATGAN CYSYLLTIAD (Tudalennau 5 - 6)

Dylai'r Aelodau ddatgan unrhyw gysylltiad personol neu gysylltiad sy'n rhagfarnu mewn unrhyw fater 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 7 - 18)

Derbyn cofnodion cyfarfod y Pwyllgor Llywodraethu Corfforaethol a gynhaliwyd ar 25 Mawrth 2015.

### 5 PROSES Y GYLLIDEB 2016/17 (Tudalennau 19 - 24)

Ystyried adroddiad gan y Prif Gyfrifydd (copi'n amgaaedig) sy'n rhoi diweddariad ar y broses i gyflawni'r gyllideb refeniw ar gyfer 2015/16.

**6 CAFFAEL GWASANAETHAU ADEILADU**

Derbyn diweddariad llafar gan y Pennaeth Cyfathrebu, Marchnata a Hamdden.

**7 TALIAD ARIANNOL I'R RHEINY SY'N GADAEL GOFAL** (Tudalennau 25 - 32)

Ystyried adroddiad gan y Rheolwr Gwasaneth ar Gyfer Plant sy'n Derbbyn Gofal (copi ynghlwm). Mae'r adroddiad hwn yn rhoi'r wybodaeth ddiweddaraf am y cynnydd gyda'r cynllun gweithredu a gynhwyswyd yn yr adroddiad Archwilio Mewnol ar Daliadau Ariannol i'r Rheiny sy'n Gadael Gofal a gyhoeddwyd ym mis Mawrth 2014..

**8 ADRODDIAD UWCH SWYDDOGION RISG GWYBODAETH** (Tudalennau 33 - 42)

Ystyried adroddiad gan y Pennaeth Busnes, Gwella a Moderneiddio (copi ynghlwm) sy'n rhoi manylion achosion o dorri'r Ddeddf Diogelu Data sydd wedi bod yn destun ymchwiliad gan y SIRO, a chwynion yn ymwneud â deddfwriaeth Rhyddid Gwybodaeth a gyfeiriwyd at y Comisiynydd Gwybodaeth.

**9 ADRODDIAD BLYNYDDOL ARCHWILIO MEWNOL** (Tudalennau 43 - 54)

Ystyried adroddiad gan y Pennaeth Archwilio Mewnol (copi ynghlwm) sy'n darparu barn gyffredinol y Pennaeth Archwilio Mewnol ar ba mor ddigonol ac effeithiol yw fframwaith y Cyngor ar gyfer llywodraethu, risg a rheolaeth yn ystod y flwyddyn sy'n ffurfio'r 'Datganiad Llywodraethu Blynyddol'.

**10 STRATEGAETH ARCHWILIO MEWNOL 2015/16** (Tudalennau 55 - 66)

Ystyried adroddiad gan y Pennaeth Archwilio Mewnol (copi ynghlwm) sy'n cyflwyno manylion Strategaeth Archwilio Mewnol 2014/15.

**11 CYNLLUN GWELLA LLYWODRAETHU A'R DATGANIAD LLYWODRAETHU BLYNYDDOL DRAFFT 2014/15** (Tudalennau 67 - 110)

Ystyried adroddiad gan y Pennaeth Archwilio Mewnol (copi'n amgaeedig) sy'n rhoi'r wybodaeth ddiweddaraf am Gynllun Gwella Llywodraethu'r Cyngor sy'n deillio o 'ddatganiad llywodraethu blynyddol' y Cyngor 2013/14 – 'Darparu llywodraethu da a gwelliant parhaus', a chyflwyno ymgynghoriad cyntaf ar yr adroddiad hunanasesu ar drefniadau llywodraethu a gwella Conwy ar gyfer 2014/15.

**12 MONITRO DARPARWYR GWASANAETH A ARIENNIR GAN Y CYNGOR**  
(Tudalennau 111 - 122)

Ystyried adroddiad ar y cyd gan Bennaeth y Gwasanaethau Cyfreithiol, Democrataidd ac Adnoddau Dynol a Phennaeth Archwilio Mewnol (copi ynghlwm) sy'n rhoi manylion y cwmpas a'r cynllun prosiect ar gyfer adolygu monitro Darparwyr Gwasanaeth a ariennir gan y Cyngor, a fyddai'n arwain at fframwaith newydd ar gyfer rhoi trefniadau o'r fath ar waith.

**13 ADBORTH O'R CYFARFOD CYDRADDOLDEB CORFFORAETHOL**

Derbyn adroddiad ar lafar gan y Cynghorydd M.L. Holland.

**14 RHAGLEN WAITH Y PWYLLGOR LLYWODRAETHU CORFFORAETHOL**  
(Tudalennau 123 - 126)

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

**MEMBERSHIP**

**Y Cynghorwyr**

Stuart Davies  
Peter Duffy  
Martyn Holland

Jason McLellan  
Barry Mellor  
Gwyneth Kensler

**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

Cod Ymddygiad Aelodau

**DATGELU A CHOFRESTRU BUDDIANNAU**

Rwyf i,  
(enw)

\*Aelod /Aelod cyfetholedig o  
(\*dileuer un)

**Cyngor Sir Ddinbych**

**YN CADARNHAU** fy mod wedi datgan buddiant **\*personol / personol a sy'n rhagfarnu** nas datgelwyd eisoes yn ôl darpariaeth Rhan III cod ymddygiad y Cyngor Sir i Aelodau am y canlynol:-  
(\*dileuer un)

Dyddiad Datgelu:

Pwyllgor (nodwch):

Agenda eitem

Pwnc:

Natur y Buddiant:

Llofnod

Dyddiad

**Code of Conduct for Members**

**DISCLOSURE AND REGISTRATION OF INTERESTS**

I, *(name)*

a \*member/co-opted member of

*(\*please delete as appropriate)*

**Denbighshire County Council**

**CONFIRM** that I have declared a **\*personal / personal and prejudicial** interest not previously declared in accordance with the provisions of Part III of the Council's Code of Conduct for Members, in respect of the following:-

*(\*please delete as appropriate)*

Date of Disclosure:

Committee *(please specify)*:

Agenda Item No.

Subject Matter:

Nature of Interest:

Signed

Date

## PWYLLGOR LLYWODRAETHU CORFFORAETHOL

Cofnodion cyfarfod o'r Pwyllgor Llywodraethu Corfforaethol a gynhaliwyd yn Ystafell Bwyllgora 1A, Neuadd y Sir, Rhuthun, Dydd Mercher, 25 Mawrth 2015 am 9.30 am.

### YN BRESENNOL

Y Cynghorwyr Stuart Davies, Peter Duffy, Martyn Holland (Is-Gadeirydd), Gwyneth Kensler a/ac Jason McLellan (Cadeirydd) a Mr P. Whitham (Aelod Lleyg).

Y Cynghorwyr M.Ll. Davies, H.Ll. Jones, R.M. Murray a J. Thompson-Hill fel arsyllwyr.

### HEFYD YN BRESENNOL

Cyfarwyddwr Corfforaethol: Uchelgais Economaidd a Chymunedol (RM), Pennaeth Gwasanaethau Cyfreithiol, Democrataidd ac Adnoddau Dynol (GW), Pennaeth Archwilio Mewnol (IB), Pennaeth Cyfathrebu, Marchnata a Hamdden (JG), Prif Gyfrifydd (RW), Rheolwr Gwybodaeth Corfforaethol (CB), Cynrychiolwyr Swyddfa Archwilio Cymru (AV, GB a GE) a Gweinyddwr y Pwyllgor (CIW).

#### 1 YMDDIHEURIADAU

Derbyniwyd ymddiheuriadau am absenoldeb oddi wrth y Cynghorwr(wyr)

#### 2 DATGAN CYSYLLTIAD

Ni fu i unrhyw Aelod ddatgan cysylltiad personol na chysylltiad sy'n rhagfarnu ag unrhyw fusnes a oedd i'w ystyried yn y cyfarfod.

#### 3 MATERION BRYD

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

#### 4 COFNODION

Cofnodion cyfarfod y Pwyllgor Llywodraethu Corfforaethol a gynhaliwyd ar 28 Ionawr 2015.

**PENDERFYNWYD** – y dylid derbyn a chymeradwyo'r Cofnodion fel cofnod cywir.

#### 5 PROSES GYLLIDEB 2016/17

Roedd adroddiad gan y Pennaeth Cyllid ac Asedau, a oedd yn rhoi diweddariad ar y broses i gyflawni'r gyllideb refeniw ar gyfer 2015/16 a 2016/17, wedi ei ddsbarthu eisoes.

Eglurodd y Cynghorydd J. Thompson-Hill fod y Gyllideb ar gyfer 2015/16 wedi cael ei chymeradwyo gan y Cyngor a bod y Gweithdai Cyllideb yn canolbwyntio ar

gynigion cynilo ar gyfer 2016/17 wedi cychwyn, a bod manylion am yr amserlenni arfaethedig wedi'u cynnwys yn yr adroddiad. Roedd y bwlch a ragwelwyd yn y gyllideb ar gyfer 2016/17 tua £8.8m. Roedd arbedion o £2.7miliwn wedi eu cymeradwyo fel rhan o'r broses bresennol a oedd yn golygu bod y bwlch sy'n weddill tua £6.1miliwn.

Roedd siart yn dangos y broses gyllideb arfaethedig wedi ei gynnwys fel Atodiad 1. Roedd yn amlinellu'r broses i sicrhau arbedion 2016/17 a symud ymlaen â'r broses a oedd wedi cychwyn ym mis Mawrth 2014. Y 'camau' arbed oedd y pwyntiau penderfyniad a gymerwyd i'r Cyngor i'w cymeradwyo. Gan fod Camau 1 i 3 wedi eu cymeradwyo roedd y siart yn cychwyn ar Gam 4.

Darparwyd manylion y broses ymgynghori sylweddol a wnaed i sicrhau cyllidebau 2015/16 a 2016/17. Roedd y broses gyllideb wedi bod yn hynod o heriol ac roedd ymgysylltiad a chefnogaeth yr Aelodau yn y broses o wneud penderfyniadau ac archwilio'r broses wedi bod yn allweddol. Roedd y fframwaith rheoli risg a gynigwyd i reoli gweithredu arbedion cyllideb 2015/16 wedi'i chynnwys yn yr adroddiad. Pwysleisiwyd mai hwn oedd y 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.

Byddai rheoli risg o'r broses yn ystyriaeth allweddol i'r Pwyllgor ac roedd y risgiau posibl o amgylch gweithredu pob cynnig arbed wedi'i gyflwyno mewn gweithdai wrth iddynt ddatblygu. Roedd yr Uwch Dîm Arweinyddiaeth wedi canolbwyntio ar reoli risg y broses a chynigiwyd y dylid cael pedair elfen i'r fframwaith rheoli risg sy'n sail i arbedion cyllideb 2015/16, ac roedd y rhain wedi'u nodi yn yr adroddiad.

Mewn ymateb i gwestiwn gan y Cyngorydd S.A. Davies ynghylch y manteision o ddarparu manylion llinellau gwariant ar gyfer gwasanaethau unigol, cadarnhaodd y Prif Gyfrifydd y gellid darparu crynodeb o gyllideb y gwasanaeth, a'r ffigurau diweddaraf a gyflwynwyd ar gyfer 2015/16. Ymatebodd y Prif Gyfrifydd i gais gan y Cadeirydd a chytunodd ddarparu copïau caled o'r wybodaeth, gan gynnwys taenlenni.

Cyfeiriodd y Cadeirydd at y materion a godwyd gan Mr P. Whitham yn y cyfarfod blaenorol o ran yr agenda risg mewn perthynas â risgiau ariannol, enw da a pherfformiad. Cadarnhaodd fod yr Uwch Dîm Arweinyddiaeth wedi ystyried y materion a godwyd, ond roedd yn teimlo fod diffyg cyfeiriad yn yr adroddiad at ganlyniad y trafodaethau. Mewn ymateb i gais gan y Cadeirydd, cytunwyd y byddai adroddiad manwl pellach yn cael ei gyflwyno i'r Gweithdy Cyllideb ym mis Mehefin, 2015 i'w ystyried gan yr Aelodau.

Esboniodd Mr P. Whitham fod y pryderon yr oedd wedi eu mynegi yn ymwneud â'r risgiau cysylltiedig ar gyfer y broses gyllideb ar gyfer 2016/17, a themlai bod yr Uwch Dîm Arweinyddiaeth yn ymddangos i fod yn canolbwyntio ar y gwaith o fonitro'r broses ar gyfer 2015/16. Roedd yn falch fod yr Uwch Dîm Arweinyddiaeth wedi ystyried yr agwedd agenda risg ond mynegodd siom nad oedd materion yn ymwneud â'r methiant i wneud penderfyniadau yn gynnar, ac arbedion staff yn cael eu hymhlygu gan gostau pensiwn, wedi cael eu hystyried. Amlinellodd y Prif



Gyfrifydd y broses a oedd yn cynnwys monitro effaith cynigion 2015/16, ac amlinellodd y broses ar gyfer ystyried cynigion 2016/17.

Mewn ymateb i'r pryderon a fynegwyd gan y Cynghorydd M.LI. Davies, cytunwyd bod y mater o golli aelodau staff sy'n siarad Cymraeg yn cael ei amlygu fel risg. Cyfeiriodd y Cadeirydd at Dyletswydd Statudol Cyngor mewn perthynas â deddfwriaeth yr iaith Gymraeg.

Yn dilyn trafodaeth bellach, ac yn amodol ar y materion a godwyd: -

**PENDERFYNWYD** - bod y Pwyllgor Llywodraethu Corfforaethol yn derbyn ac yn nodi cynnwys yr adroddiad ar y datblygiadau diweddaraf.

**(RW i weithredu)**

## **6 DIWEDDARIAD STRATEGAETH RHEOLI GWYBODAETH**

Cyflwynwyd adroddiad gan y Rheolwr Gwybodaeth Corfforaethol, yn rhoi'r wybodaeth ddiweddaraf am y cynnydd a wnaed ar weithredu Strategaeth Rheoli Gwybodaeth y Cyngor, a gafodd ei ddsbarthu eisoes.

Eglurodd y Rheolwr Gwybodaeth Corfforaethol bod Tîm Gwybodaeth Corfforaethol wedi cael ei ffurfio er mwyn darparu ymagwedd fwy cydlynol at y maes hwn ac i fynd i'r afael â'r gwendidau anodwyd yn y Datganiadau Llywodraethu Blynyddol. Roedd Strategaeth Rheoli Gwybodaeth wedi cael ei datblygu i ddarparu dull corfforaethol y cytunwyd arno ar gyfer y swyddogaeth hon, ac o ganlyniad roedd gwelliannau sylweddol wedi cael eu gwneud. Yn ddiweddar, roedd y gwelliannau wedi arwain at leihau'r risgiau cysylltiedig o oren, sylweddol, i felyn, cymedrol, ac adlewyrchwyd hyn yn y Gofrestr Risg Gorfforaethol.

Roedd rhai o'r camau gweithredu allweddol a wnaed dros y 12 mis diwethaf a oedd wedi helpu i leihau'r gyfradd risg wedi cael eu nodi yn yr adroddiad, cyfeiriwyd yn benodol at:-

- moderneiddio'r ffordd y mae llawer o dimau o bob rhan o'r Cyngor yn gweithio gyda dogfennau trwy gyflwyno EDRMS, a oedd yn cael ei ddefnyddio gan 20% o'r gweithlu.
- pwysigrwyd darparu hyfforddiant ar gyfer staff mewn perthynas â materion diogelu data.
- manylion ynglŷn â diwygio ac ail-lansio ein Atodlen Gadw Gorfforaethol.
- dwysedd llafur y broses sganio.

Eglurwyd, dros y 12 mis nesaf mae nifer o weithgareddau wedi'u cynllunio gan ganolbwyntio'n benodol ar ddatblygu swyddogaethau Rheoli Cofnodion ac Archifau'r Cyngor:

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

- Roedd y gwasanaeth Archifau yn wasanaeth rhad ac am ddim i unrhyw un sy'n dymuno cael mynediad i gofnodion hanesyddol. Codir ffioedd bach am bethau fel llungopïo, sganio ac ymchwil.
- Cadarnhaodd y Rheolwr Gwybodaeth Corfforaethol fod rhaglen gwaith i'r dyfodol wedi ei sefydlu a bod y gweithgareddau a gynlluniwyd yn cael eu hystyried yn gyraeddadwy.
- Roedd yr Uwch Dîm Arweinyddiaeth wedi cytuno i ddarparu biniau gwastraff cyfrinachol â chlo.
- Roedd dull cydweithredol wedi cael ei fabwysiadu gydag Awdurdodau Lleol cyfagos, o ran gosod a datblygu systemau a chyfarpar TG newydd cydnaws, yng ngoleuni uno posibl yn y dyfodol. Cytunodd y Rheolwr Gwybodaeth Corfforaethol byddai adroddiad yn y dyfodol yn cynnwys manylion am y cynnydd a gyflawnwyd yn y maes hwn.
- Darparwyd manylion ynglŷn â'r Atodlen Gadw Gorfforaethol, mewn perthynas â dinistrio cofnodion.

Yn dilyn trafodaeth bellach:-

**PENDERFYNWYD** - bod y Pwyllgor Llywodraethu Corfforaethol yn nodi'r cynnydd a wnaed ar reoli gwybodaeth ac yn parhau i gefnogi ei weithrediad. **(CB i Weithredu)**

## **7 PAPUR GWYN – DIWYGIO LLYWODRAETH LEOL, PŴER I BOBL LEOL**

Cyflwynwyd adroddiad gan Bennaeth y Gwasanaethau Cyfreithiol, Adnoddau Dynol a Democrataidd, ar Bapur Gwyn Llywodraeth Cymru o'r enw Diwygio Llywodraeth Leol: Pŵer i Bobl Leol, ('y Papur'), a oedd wedi ei ddsbarthu gyda'r papurau ar gyfer y cyfarfod.

Roedd y Papur yn destun ymgynghoriad tan 28 mis Ebrill ac roedd yr adroddiad yn ceisio canfod barn y Pwyllgor ar y cynigion sydd yn y papur, yn enwedig yr elfennau hynny sy'n ymwneud yn uniongyrchol â materion llywodraethu corfforaethol. Roedd crynodeb o'r Cynllun Corfforaethol wedi'i gynnwys fel Atodiad 1.

Cyflwynodd y Pennaeth Gwasanaethau Cyfreithiol, Adnoddau Dynol a Democrataidd yr adroddiad ac eglurodd bod y Papur helaeth yn cynnwys nifer o gynigion polisi clir, gan ailadrodd ymrwymadau polisi blaenorol, megis uno, cysylltiadau â Bil Cenedlaethau'r Dyfodol ac ati, a nifer o gwestiynau penagored sy'n ceisio barn am opsiynau polisi. Roedd rhai o'r cynigion ac opsiynau polisi yn gymhleth ond yn cynnig manylion cyfyngedig o amgylch sut y byddai cynigion yn cael eu rhoi ar waith. Roedd naw prif bennod yn y Papur a oedd yn cynnwys arolwg ymgynghori, Atodiad 2. Gofynnwyd i'r Pwyllgor ystyried yn arbennig y Bennod o'r enw 'Llywodraethu a Gwella Corfforaethol' ynghyd â meysydd eraill yn y Papur a oedd yn effeithio ar faterion llywodraethu corfforaethol a oedd wedi eu nodi yn yr adroddiad.

Cafodd yr anawsterau a wynebwyd wrth ddarparu ymateb eu hamlinellu gan y Pennaeth Gwasanaethau Cyfreithiol, Adnoddau Dynol a Democrataidd. Esboniodd y bwriadwyd drafftio dogfen i ymateb i bob mater a godwyd yn yr arolwg tri deg tudalen ac i gynhyrchu dogfen glawr sy'n rhoi barn, os cytuna'r Aelodau, ar y themâu cadarnhaol yn y Papur Gwyn. Fodd bynnag, i fynegi'r farn bod y Papur

Gwyn yn canolbwyntio ar faterion allweddol ac amlygu barn Sir Ddinbych ar y materion hyn.

Darparodd y Pennaeth Gwasanaethau Cyfreithiol, Adnoddau Dynol a Democrataidd grynodedb manwl o'r adroddiad a oedd wedi canolbwyntio ar feysydd canlynol y Papur:-

Paragraff 2.12  
Paragraff 2.10  
Pennod 3, f, g  
Paragraff 3.5  
Pennod 4  
Pennod 6  
Paragraff 6.4  
Pennod 7  
Pennod 8  
Pennod 9

Amlinellodd y Pennaeth Gwasanaethau Cyfreithiol, Adnoddau Dynol a Democrataidd y prif faterion i'w hystyried gan y Pwyllgor Llywodraethu Corfforaethol. Cyfeiriodd at ddyheadau Llywodraeth Cymru i wella a chynyddu safonau Arweinyddiaeth o safbwynt llywodraethu corfforaethol ar lefel swyddogion a gwleidyddol, gyda'r newidiadau arfaethedig i broses benodi uwch swyddogion mewn Awdurdodau Lleol. Amlinellwyd y tri opsiwn a ystyriwyd i gyflawni'r amcanion gan y Pennaeth Gwasanaethau Cyfreithiol, Adnoddau Dynol a Democrataidd, a chyfeiriwyd yn arbennig at y posibilrwydd o gyflwyno Comisiwn Penodiadau Sector Cyhoeddus a sefydlu Comisiwn Staff Gwasanaethau Cyhoeddus

Cyfeiriodd y Pennaeth Gwasanaethau Cyfreithiol, Adnoddau Dynol a Democrataidd at y manteision sydd i'w cyflawni drwy groesawu'r ffocws ar lywodraethu corfforaethol, arweinyddiaeth, perfformiad a gwella a thynnu sylw at feysydd sy'n cael eu hystyried fel arfer da. Cyfeiriodd y Cadeirydd at yr angen i'r Pwyllgor ganolbwyntio a rhoi ffocws ar faterion llywodraethu wrth ystyried cynnwys yr ymateb.

Yn ystod y drafodaeth a ddilynodd mynegodd yr Aelodau eu barn mewn perthynas â'r materion canlynol: -

- y manteision i'w cyflawni o rannu prosesau arfer gorau, fel sy'n cael ei wneud ar hyn o bryd yn Sir Ddinbych.
- pwysigrwydd cyfansoddiad y Byrddau Ardal Lleol perthnasol sy'n cyfrannu at y broses.
- arwyddocâd cyfranogiad cymunedau lleol wrth wneud penderfyniadau ar lefel leol.
- rôl, cylch gwaith a dynodiad Cyngorau Cymuned yn y dyfodol.

Eglurodd y Pennaeth Gwasanaethau Cyfreithiol, Adnoddau Dynol a Democrataidd ei fod wedi dechrau drafftio ymateb naratif o Sir Ddinbych a oedd yn cynnwys ymatebion i bob un o'r blychau ticio, gan dynnu sylw at unrhyw faterion o bryder ac

amlinellu meysydd yr ystyrir i fod yn themâu mawr. Pwysleisiodd bwysigrwydd cyfranogiad Aelodau a chynnwys eu barn yn yr ymateb.

Cytunodd y Cadeirydd y dylai'r ymateb naratif gael ei fynegi mewn ffurf bositif, a mynegodd y farn bod llawer o'r arferion gorau eisoes wedi cael eu mabwysiadu a'u gwneud gan yr Awdurdod. Teimlwyd y dylai'r ymateb hefyd gynnwys y pryderon a fynegwyd mewn perthynas â manylion penodol megis aelodaeth y Byrddau Ardal Lleol a'r agweddau gweinyddol.

Ystyriodd yr Aelodau'r mater a oedd yn ymwneud â chyfansoddiad y Pwyllgor Llywodraethu Corfforaethol, a chyfeiriwyd yn arbennig at nifer yr Aelodau Annibynnol a'u penodiad. Eglurodd y Pennaeth Gwasanaethau Cyfreithiol, Adnoddau Dynol a Democrataidd ei fod wedi dechrau drafftio ymateb mewn perthynas ag Aelodau Annibynnol a oedd yn cynnwys: -

- Byddai Aelodau Annibynnol yn dod â safbwynt ffres gyda her a barn wahanol i rai'r Aelodau Etholedig, ac roedd hyn wedi gweithio'n dda o ran Pwyllgor Archwilio Llywodraethu Corfforaethol Sir Ddinbych.
- Roedd y Pwyllgor yn falch o nodi na awgrymwyd y dylid cael mwyafrif o Aelodau Annibynnol.
- Teimlwyd na ddylai cadeiryddion yn awtomatig fod yn Aelodau Annibynnol, ond ni ddylai hyn atal Aelod Annibynnol rhag bod yn gadeirydd, gyda'r Pwyllgor yn penodi'r cadeirydd.

Amlygodd Mr P. Whitham bwysigrwydd Aelodau Annibynnol i fod yn wybodus, deallus a gyda gwir ddiddordeb mewn gwasanaethu fel Aelodau ar Bwyllgorau Llywodraethu Corfforaethol, a gofynnodd a fyddai cynyddu nifer yr Aelodau Annibynnol sy'n gwasanaethu ar Bwyllgorau Llywodraethu Corfforaethol yn mynd i'r afael â'r mater hwn.

Yn dilyn trafodaeth bellach:-

**PENDERFYNWYD** - yn amodol ar sylwadau'r Aelodau, bod y Pwyllgor Llywodraethu Corfforaethol:-

- (a) yn derbyn ac yn nodi cynnwys yr adroddiad, ac
  - (b) yn cytuno bod y Pennaeth Gwasanaethau Cyfreithiol, Adnoddau Dynol a Democrataidd yn drafftio ymateb fel yr amlinellwyd yn ystod y drafodaeth.
- (GW i Weithredu)**

## **8 CYNLLUN ARCHWILIO 2015 CYNGOR SIR DDINBYCH**

Roedd copi o adroddiad gan y Pennaeth Cyllid ac Asedau wedi ei ddsbarthu gyda'r papurau ar gyfer y cyfarfod.

Cyflwynodd Cynrychiolydd Swyddfa Archwilio Cymru adroddiad 'Cynllun Archwilio 2015- Cyngor Sir Ddinbych', Atodiad 1, a gynhyrchwyd gan Swyddfa Archwilio Cymru (SAC). Roedd yr adroddiad yn amlinellu rhaglen waith wedi'i threfnu ar gyfer rhaglen archwilio perfformiad ac archwilio ariannol Swyddfa Archwilio Cymru a oedd yn cynnwys materion megis y ffi ar gyfer y gwaith, manylion o ran y tîm

archwilio a'r amserlen ar gyfer y gwaith. Roedd yn ofynnol i'r archwilyr allanol baratoi a chyflwyno'r adroddiad er mwyn cyflawni eu gofynion o dan safonau archwilio ac arferion archwilio priodol.

Roedd y meysydd o fewn yr adroddiad, Atodiad 1, a amlygwyd gan Gynrychiolwyr Swyddfa Archwilio Cymru yn cynnwys: -

- Crynodeb o'r Adroddiad.
- Archwilio ariannol.
- Risgiau archwilio ariannol.
- Ardystio hawliadau a ffurflenni grant.
- Materion cyffredinol a nodwyd.
- Gwaith arall a wnaed.
- Archwilio perfformiad.
- Tîm Archwilio Ffioedd ac amserlen.
- Tîm Archwilio.
- Amserlen.

Darparodd adroddiad Swyddfa Archwilio Cymru'r Cyngor gydag amlinelliad o'r rhaglen waith archwilio ariannol ac archwilio perfformiad. Roedd y rhaglen archwilio ariannol yn cwmpasu'r gwaith o ran datganiadau ariannol 2014-15, ac yn darparu gwybodaeth am y dull archwilio, gan gynnwys y risgiau archwilio allweddol sydd wedi'u nodi yn ystod y broses gynllunio cychwynnol a'r camau bwriedig i fynd i'r afael â nhw. Bydd y gwaith archwilio ariannol ar y meysydd risg hyn yn cael eu defnyddio i lywio barn archwilio ar y datganiadau ariannol.

Roedd y rhaglen waith archwilio perfformiad yn cynnwys eu gwaith o ran y Mesur Llywodraeth Leol. Roedd y gwaith archwilio ariannol a pherfformiad hefyd yn adolygu'r trefniadau a roddwyd ar waith gan y Cyngor i sicrhau darbodusrwydd, effeithlonrwydd ac effeithiolrwydd yn ei ddefnydd o adnoddau.

Eglurodd y Cynghorydd S.A. Davies ei fod yn croesawu'r archwiliad o'r Cydbwyllgor mewn perthynas â'r AHNE. Eglurodd Cynrychiolydd Swyddfa Archwilio Cymru oherwydd ei faint byddai'r AHNE yn destun archwiliad sicrwydd cyfyngedig, fodd bynnag, cadarnhawyd y byddai'r adroddiad mewn perthynas â'r AHNE yn cael ei gyflwyno i'r Pwyllgor Llywodraethu Corfforaethol.

Ymatebodd Cynrychiolwyr Swyddfa Archwilio Cymru i gwestiwn gan Mr P. Whitham a manylwyd ar waith perfformiad yn archwiliad amlinellol y llynedd sy'n dal ar y gweill, Atodiad 2. Cytunodd y Pennaeth Gwasanaethau Cyfreithiol, Adnoddau Dynol a Democraataidd y gellid dosbarthu llythyr a dderbyniwyd gan Swyddfa Archwilio Cymru ynghylch y mater hwn i Aelodau'r Pwyllgor. Cyfeiriwyd at Atodiad 3 a oedd yn cyfeirio at astudiaethau gwerth am arian Cenedlaethol.

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

**(GW i Weithredu)**

**9 CYNLLUN GWELLA LLYWODRAETHU A DATGANIAD LLYWODRAETHU BLYNYDDOL DRAFFT 2014/15**

Oherwydd cyfyngiadau amser, cafodd yr eitem hon ei gohirio tan y cyfarfod nesaf.

**10 STRATEGAETH ARCHWILIO MEWNOL 2015/16**

Oherwydd cyfyngiadau amser, cafodd yr eitem hon ei gohirio tan y cyfarfod nesaf.

**11 TALIAD ARIANNOL I'R RHAI SY'N GADAEL GOFAL - DIWEDDARIAD**

Roedd adroddiad gan y Pennaeth Archwilio Mewnol a oedd yn rhoi'r wybodaeth ddiweddaraf am y cynnydd gyda'r Cynllun Gweithredu a gynhwyswyd yn yr adroddiad Archwilio Mewnol ar Daliadau Ariannol i'r Rheiny sy'n Gadael Gofal a gyhoeddwyd ym mis Mawrth 2014, wedi cael ei ddsbarthu eisoes.

Eglurodd y Pennaeth Archwilio Mewnol bod y Pwyllgor wedi gofyn am adroddiad cynnydd ar ôl ystyried adroddiad dilynol ar 5 Tachwedd, 2014, a oedd yn dangos mai dim ond pum cam gweithredu oedd wedi cael ei gwblhau gyda thri arall yn mynd rhagdynt. Nid oedd chwech o'r camau gweithredu wedi cael sylw, gan gynnwys y prif fater a godwyd, Mater 1, a oedd yn gofyn am adolygiad llawn o'r broses ar gyfer gwneud taliadau i bobl sy'n gadael gofal.

Roedd y diweddariad mwyaf cyfredol wedi cael ei gynnwys fel Atodiad 1 i'r adroddiad. Cadarnhaodd y Pennaeth Archwilio Mewnol y bu ychydig iawn o gynnydd ers y cyfarfod a gynhaliwyd ym mis Rhagfyr, 2014, pan oedd y Pennaeth Refeniw a Budd-daliadau a'r Rheolwr Gwasanaeth: Plant sy'n Derbyn Gofal wedi annerch y Pwyllgor. Eglurodd bod y sefyllfa bellach wedi newid ac mae'r mater wedi dod yn fater Caffael Strategol

Mynegodd y Pwyllgor bryder eithafol ynghylch y diffyg cynnydd dros gyfnod hir o amser, ynghylch y mater pwysig iawn sy'n ymwneud â pholisïau sy'n effeithio ar oedolion ifanc diamddiffyn.

Cytunodd yr Aelodau dylid gofyn i'r Rheolwr Gwasanaeth: Plant sy'n Derbyn Gofal i gyflwyno adroddiad i gyfarfod nesaf y Pwyllgor, yn manylu ar y rhesymau dros y diffyg cynnydd, a bod y Swyddog Caffael Strategol Dros Dro yn cael gwahoddiad i fynychu'r cyfarfod hefyd.

Yn ystod y drafodaeth a ddilynodd gofynnodd y Pwyllgor am i'w rhwystredigaeth, o ran y diffyg cynnydd, gael ei gyfleu i'r swyddogion perthnasol.

**PENDERFYNWYD** - bod y Pwyllgor Llywodraethu Corfforaethol yn gofyn

(a) i'r Rheolwr Gwasanaeth: Plant sy'n Derbyn Gofal gyflwyno adroddiad i gyfarfod nesaf y Pwyllgor, a

(b) gwahodd y Swyddog Caffael Strategol Dros Dro i fynychu'r cyfarfod.

**(IB, RM a SA i Weithredu)**

**12 HAMDDEN CLWYD CYF – ADOLYGU'R GWERSI A DDYSGWYD**

Roedd copi o adroddiad gan y Cyfarwyddwr Corfforaethol Uchelgais Economaidd a Chymunedol wedi ei ddsbarthu eisoes.

Cyflwynodd y Cyfarwyddwr Corfforaethol Uchelgais Economaidd a Chymunedol yr adroddiad a oedd yn adolygu'r amgylchiadau a arweiniodd at Hamdden Clwyd Cyf yn rhoi'r gorau i fasnachu yn 2014, a nodi'r gwersi a ddysgwyd er mwyn lleihau'r risg o amgylchiadau tebyg rhag digwydd yn y dyfodol.

Roedd y Pennaeth Archwilio Mewnol wedi adolygu'r trefniadau ar gyfer llywodraethu a monitro perfformiad sefydliadau hyd braich. Roedd yr adroddiad yn nodi'r canfyddiadau, casgliadau ac argymhellion o'r adolygiad a gomisiynwyd gan y Cabinet, a osodwyd o fewn yr argymhellion a wnaed gan y Pennaeth Archwilio Mewnol er mwyn gwella llywodraethu cyffredinol o sefydliadau hyd braich. Roedd llinell amser o hanes Hamdden Clwyd Cyf wedi cael ei amlinellu yn yr adroddiad adolygu.

Eglurodd y Cyfarwyddwr Corfforaethol Uchelgais Economaidd a Chymunedol ar y dechrau nid oedd y gwaith papur cyfreithiol yn sefydlu Hamdden Clwyd Cyf wedi trin sut i ddelio â sefyllfaoedd problemus, a bu absenoldeb clir o ddisgwyliadau perfformiad ac eglurder.

Roedd y penderfyniad gwreiddiol i sefydlu Hamdden Clwyd Cyf wedi cael ei seilio ar arfarniad o opsiynau yn seiliedig ar nifer o ragdybiaethau allweddol. Fodd bynnag, daeth yr adolygiad i'r casgliad na chafodd hyn ei ddilyn drwodd i'r ddogfennaeth ffurfiol yn sefydlu'r cwmni neu ei berthynas â'r Cyngor, ac roedd hyn wedi cyfrannu at wendidau yn y trefniadau monitro ac archwilio a'i gwneud yn anodd i'r Cyngor i reoli ei berthynas â'r Cwmni. Teimlwyd bod trefniadau archwilio a monitro wedi cael eu drysu a bod llwybrau adrodd lluosog yn debygol o fod wedi cyfrannu at ddiffyg dilyniant.

Amlinellodd y Pennaeth Cyfathrebu, Marchnata a Hamdden y rheswm pam fod y Cwmni wedi bod yn destun cymaint o archwilio sy'n gwrthdaro. Esboniodd fod y trefniadau hyd braich ac yn wir y gwasanaeth Hamdden yn ei gyfarwydd wedi cael ei basio o gwmpas yr Awdurdod ar sawl achlysur yn ystod cyfnod amser y cwmni, a oedd wedi golygu sawl Pennaeth Gwasanaeth gwahanol â chyfrifoldeb drosto ac o ganlyniad yn gorfod adrodd i'r gwahanol Bwyllgorau Archwilio. Mynegodd y Pennaeth Cyfathrebu, Marchnata a Hamdden y farn fod y problemau wedi deillio o'r testun a'r cyfrifoldeb yn dilyn Penaethiaid a Chyfarwyddwyr yn adrodd i wahanol Bwyllgorau Archwilio. Teimlai y byddai'r trefniadau archwilio newydd yn sicrhau nad oedd hyn yn digwydd yn y dyfodol gan nad oeddent yn seiliedig ar gyfarwyddiaeth, a byddai rhaglenni yn cael eu monitro a'u trafod gan Gadeiryddion ac Is-gadeiryddion.

Yn fwy diweddar o fewn y Cyngor mae dulliau mwy cadarn o ddatblygu achosion busnes a rheoli prosiectau a risg yn golygu ei bod yn annhebygol y byddai amgylchiadau tebyg yn codi rŵan. Mae rheoli risg wedi'i ymgorffori yn fwy cadarn o fewn y Cyngor ac mae canolbwyntio cliriach ar reoli perfformiad yn arferol bellach. Nododd yr adolygiad fod y berthynas gyda Hamdden Clwyd Cyf wedi'i rheoli'n fwy cadarn yn y camau diweddarach hyn, gyda monitro rheolaidd ar waith a chamau

gwella wedi'u nodi a'u dilyn ymlaen. Roedd y penderfyniadau a wnaed gan y Cabinet ym mis Ionawr a Mawrth 2014 wedi'u hysbysu i raddau helaeth o ganlyniad i'r dull mwy cadarn hwn. Pwysleisiwyd bod y system Archwilio gyfredol yn lleihau risgiau posibl a bod y Grŵp cadeiryddion ac Is-Gadeiryddion yn darparu modd o reoli unrhyw ddyblygu, nad oedd ar gael yn y gorffennol, a bod hyn yn darparu rheolaeth ychwanegol yn y system.

Eglurodd y Cyfarwyddwr Corfforaethol Uchelgais Economaidd a Chymunedol bod argymhellion ar gyfer gwelliannau pellach wedi eu hamlinellu yn yr adroddiad adolygu a oedd yn gysylltiedig ag adolygiad cyffredinol y Pennaeth Archwilio Mewnol o drefniadau cyffredinol ar gyfer sicrhau bod sefydliadau hyd braich yn cael eu llywodraethu a'u perfformiad yn cael ei fonitro'n briodol.

Roedd yr adroddiad yn cynnwys argymhellion i wella trefniadau goruchwylio, archwilio a monitro'r Cyngor, gan osgoi dibyniaeth ar gyfarwyddwyr a benodwyd i'r bwrdd gan y Cyngor fel yr unig ddull o lywodraethu ac enwebu pwyllgorau perthnasol yn y Cyngor i ystyried trefniadau llywodraethu a pherfformiad perthnasau hyd braich o'r fath.

Teimlai'r Cadeirydd y dylai'r materion sy'n deillio o'r trafodaethau a'r casgliadau fod yn canolbwyntio ar y dyfodol. Fodd bynnag, teimlai y byddai'n bwysig ystyried llinell amser y digwyddiadau a'r gwersi a ddysgwyd.

Diolchodd y Cyngorydd P.C. Duffy i'r Pennaeth Cyfathrebu, Marchnata a Hamdden am y gwaith a wnaeth. Mynegodd bryder na fu dim cynllun busnes ystyrlon na chytundeb prydles yn ei lle ar y dechrau, a chyfeiriodd at y diffyg archwilio, ymyrraeth neu wiriadau mewn perthynas â pherfformiad dros gyfnod hir o amser.

Ymatebodd y Pennaeth Gwasanaethau Cyfreithiol, Adnoddau Dynol a Democrataidd i gwestiynau oddi wrth Aelodau ac eglurodd mai'r agwedd gyllido o'r cytundeb a wnaed oedd yr agwedd fwyaf amhriodol o'r ddogfennaeth.

Eglurodd y Cyfarwyddwr Corfforaethol Uchelgais Economaidd a Chymunedol yr ymddengys nad oedd unrhyw linellau cyfrifoldeb clir, a thra mynegwyd pryderon roedd y Pwyllgorau priodol yn ymddangos i fod yn fodlon ar sicrwydd a gafwyd ynglŷn â gweithrediad y Cwmni. Mewn ymateb i bryderon a fynegwyd gan Aelodau, amlinellodd yr anawsterau yr oedd Cyfarwyddwyr y Bwrdd a benodwyd gan y Cyngor yn eu hwynebu. Roedd yr adolygiad wedi cynnwys argymhellion i wella trefniadau goruchwylio, archwilio a monitro'r Cyngor er mwyn osgoi dibyniaeth ar gyfarwyddwyr bwrdd a benodwyd gan y Cyngor fel yr unig ddull o lywodraethu ac enwebu Pwyllgorau perthnasol o fewn y Cyngor i ystyried llywodraethu a pherfformiad perthnasau hyd braich fel y cyfryw. Eglurodd y Cyfarwyddwr Corfforaethol Uchelgais Economaidd a Chymunedol fod yna fanteision i benodi Cyngorwyr fel Cyfarwyddwyr ar Fyrddau Cwmnïau hyd braich, fodd bynnag, nid ar gyfer monitro agweddau perfformiad a chyllid Cwmni yn unig. Teimlodd y Cyngorydd H.L.I. Jones, Aelod Arweiniol dros Dwristiaeth, Hamdden ac Ieuenctid, y gallai'r Grŵp Cadeiryddion ac Is-gadeiryddion Archwilio gyfrannu at y broses o archwilio Cwmnïau hyd braich. Cyfeiriwyd at rolau a chyfrifoldebau Cyngorwyr, Cyfarwyddwyr y Bwrdd ac Aelodau'r Cabinet.



Amlygodd y Cyfarwyddwr Corfforaethol Uchelgais Economaidd a Chymunedol bwysigrwydd yr angen i reoli unrhyw wrthdaro o ran buddiannau a allai godi, a chyfeiriwyd at ddyletswydd statudol Cyfarwyddwyr Cwmnïau.

Amlinellwyd yr anawsterau a gafwyd gan swyddogion wrth fynd i'r afael â'r problemau a brofwyd gan y Pennaeth Cyfathrebu, Marchnata a Hamdden, a chyfeiriwyd yn arbennig at agwedd wleidyddol y broses. Rhoddodd hefyd fanylion y goblygiadau a'r canlyniadau a ddeilliodd o'r argymhellion yn Adroddiad Archwilio Cymru 2008.

Mewn ymateb i gwestiwn oddi wrth y Cadeirydd, cytunodd y Cyfarwyddwr Corfforaethol Uchelgais Economaidd a Chymunedol i ddarparu manylion am y meini prawf a'r broses ar gyfer asesu'r gwerth rhent ardrethol a masnachol ar gyfer adeiladau megis Canolfan Nova, Prestatyn.

Cymeradwyodd y Pwyllgor gais gan y Cadeirydd ar gyfer cyflwyno adroddiad i gyfarfod mis Mai 2015 o'r Pwyllgor i gynnwys:-

- Atgyfnerthu rôl Aelodau Etholedig ar Fyrddau Cwmnïau hyd braich a chynnwys y gwaith a wnaed gan y Pennaeth Gwasanaethau Cyfreithiol, Adnoddau Dynol a Democrataidd a Phennaeth Archwilio Mewnol mewn perthynas â Cwmnïau hyd braich.
- Y gwaith a wnaed gan y Pennaeth Archwilio Mewnol, i gynnwys y fframwaith i'w gweithredu ym mis Gorffennaf 2015, gyda diweddariad am weithredu'r argymhellion y cytunwyd arnynt.
- Diweddariad gan y Pennaeth Gwasanaethau Cyfreithiol, Adnoddau Dynol ar rôl Aelodau ar Fyrddau Cwmnïau hyd braich perthnasol.

Amlygodd yr Aelodau hefyd yr angen am ddarparu hyfforddiant i Aelodau mewn perthynas â Chwmnïau hyd braich. Amlygodd y Pennaeth Cyfathrebu, Marchnata a Hamdden yr angen i enwebeion i'r Byrddau perthnasol feddu ar y set sgiliau angenrheidiol a'r ddealltwriaeth i ddiwallu ac ymgymryd â gofynion y swydd.

Cyfeiriodd y Cadeirydd at bwysigrwydd atgyfnerthu'r angen i sicrhau rôl y Pwyllgorau Archwilio perthnasol o ran monitro Cwmnïau hyd braich. Cytunodd y Pwyllgor fod y mater hwn yn cael ei gyfeirio at y Grŵp Cadeiryddion ac Is-Gadeiryddion i'w ystyried.

**PENDERFYNWYD** - yn amodol ar y sylwadau uchod, bod y Pwyllgor Llywodraethu Corfforaethol:

- (a) derbyn ac yn nodi cynnwys yr adroddiad.
- (b) cytuno bod adroddiad pellach yn cael ei gyflwyno i gyfarfod Mai 2015 o'r Pwyllgor, yn cynnwys yr wybodaeth a'r manylion y gofynnwyd amdanynt gan Aelodau.

**(IB a GW i Weithredu)**

### 13 ADBORTH AR GYFARFOD CYDRADDOLDEB CORFFORAETHOL

Ni chyflwynwyd adroddiad.

### 14 RHAGLEN GWAITH PWYLLGOR LLYWODRAETHU CORFFORAETHOL

Cyflwynwyd Rhaglen Gwaith i'r Dyfodol y Pwyllgor Llywodraethu Corfforaethol (a gylchredwyd eisoes) i'w ystyried.

Cadarnhaodd y Pwyllgor Llywodraethu Corfforaethol Rhaglen Gwaith i'r Dyfodol y Pwyllgor yn amodol ar gynnwys yr eitemau busnes canlynol yn Rhaglen Gwaith i'r Dyfodol y Pwyllgor:-

20 Mai 2015:-

- Strategaeth Archwilio Mewnol 2015/16
- Cynllun Gwella Llywodraethu a'r Datganiad Llywodraethu Blynyddol Drafft 2014/15.
- Taliad Ariannol i Rai sy'n Gadael Gofal - Diweddariad
- Adroddiad ar Gyrrff Allanol a Diweddariad Hamdden Clwyd - (Pennaeth Gwasanaethau Cyfreithiol, Adnoddau Dynol a Democrataidd ac i gysylltu gyda'r Pennaeth Archwilio Mewnol).

Eglurodd y Prif Gyfrifydd bod cyflwyno'r Cyfrifon Drafft yn cael ei gynnwys yn y Rhaglen Waith i'r Dyfodol ar gyfer mis Gorffennaf, 2015 a'r Cyfrifon Terfynol ar gyfer mis Medi, 2015.

Cyfeiriodd y Cadeirydd at ymadawiad y Pennaeth Cyllid ac Asedau yn fuan. Mynegodd ef ac Aelodau'r Pwyllgor eu gwerthfawrogiad am yr holl gymorth a chyfarwyddyd a ddarparwyd ganddo a'r gwaith caled a wnaed.

***PENDERFYNWYD yn amodol ar yr uchod bod y Pwyllgor yn cymeradwyo'r Rhaglen Gwaith i'r Dyfodol.***

Daeth y Cyfarfod i ben am 1.45pm.

<b>Adroddiad i'r:</b>	<b>Pwyllgor Llywodraethu Corfforaethol</b>
<b>Dyddiad y Cyfarfod:</b>	<b>20 Mai 2015</b>
<b>Aelod Arweiniol / Swyddog:</b>	<b>Y Cynghorydd Julian Thompson-Hill / Paul McGrady</b>
<b>Awdur yr Adroddiad:</b>	<b>Richard Weigh, Prif Gyfrifydd</b>
<b>Teitl:</b>	<b>Proses y Gyllideb 2016/17</b>

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

Mae'r adroddiad yn rhoi diweddariad ar y broses i ddarparu'r gyllideb refeniw ar gyfer 2016/17.

## 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**

Cynhaliwyd y ddau weithdy cyllideb cyntaf i aelodau ystyried arbedion posibl ar gyfer 2016/17 ar 23 Chwefror a 26 Mawrth. Roedd y ddwy sesiwn hyn yn canolbwyntio ar y cynigion a ohiriwyd o weithdai blaenorol y gyllideb.

Mae gweithdai eraill ynglŷn â'r gyllideb wedi'u trefnu ar gyfer 5 Mehefin, 26 Hydref a 14 Rhagfyr. Wrth ddatblygu proses 2016/17 ymhellach, efallai y bydd angen trefnu mwy o weithdai. Mae Atodiad 1 yn cynnwys siart proses y gyllideb er gwybodaeth. Mae'r siart yn amlinellu'r broses i ddarparu arbedion 2016/17 ac yn ategu at y broses a ddechreuodd ym mis Mawrth 2014. Mae'r 'cyfnodau' arbed y cyfeirir atynt yn golygu'r pwyntiau penderfynu a gyflwynir i'r Cyngor i'w cymeradwyo. Mae Camau 1-3 wedi'u cymeradwyo eisoes ac felly mae'r siart yn dechrau yng Ngham 4.

Bydd y gyfres nesaf o gynigion ar gyfer 2016/17, gan gynnwys yr eitemau a drafodwyd yn y ddau weithdy diwethaf, yn cael eu cyflwyno i'r Cyngor ym mis Gorffennaf i'w cymeradwyo. Mae cyfanswm y cynigion hyn yn debygol o fod rhwng £1.5 miliwn a £2.0m, ac maent yn canolbwyntio ar fesurau effeithlonrwydd a moderneiddio yn hytrach na thoriadau gwasanaeth neu gynydd i ffioedd neu gostau.

Ar hyn o bryd, mae cyfres o gyfarfodydd yn cael ei chynnal gyda gwasanaethau i adolygu cyllidebau ac ystyried cynigion cyllideb newydd. Bydd gweithdy mis Mehefin yn edrych ar y cynigion amlinellol o'r gyfarfodydd hyn,

ynghyd ag unrhyw gynnig gan aelodau etholedig. Rhoddwyd ffurflen i arweinwyr y grwpiau gwleidyddol ym mis Ebrill er mwyn helpu i nodi unrhyw gynigion yr hoffai aelodau eu cyflwyno i'w hystyried. Mae'r ffurflen yn caniatáu i'r Adran Gyllid a gwasanaethau eraill adolygu ac asesu pob cynnig ac yn rhoi cyfle iddynt roi adborth penodol i'r cynigydd neu'r grŵp gwleidyddol.

Bydd y cynigion a nodir ym mis Mehefin yn cael eu mireinio yn ystod yr haf a naill ai'n cael eu cyflwyno i'r gweithdy ym mis Medi neu i'r Cyngor i'w cymeradwyo ym mis Rhagfyr. Yna bydd y gweithdy ym mis Rhagfyr yn canolbwyntio ar y cynigion terfynol i gydbwysu'r gyllideb.

Bydd pob cynnig yn cael ei asesu gan yr Adran Gyllid i benderfynu ar effaith debygol y gyllideb yn 2016/17. Mae hyn yn sicrhau bod unrhyw gost ymlaen llaw neu gost adnewyddu yn cael ei chyfrif ac yn cael ei defnyddio i ddarparu asesiad risg ariannol o ran a yw'r amserlenni yn rhesymol i gyflawni'r arbedion yn llawn neu'n rhannol yn ystod 2016/17.

Yn dilyn y gyfres bresennol o gyfarfodydd cyllideb gyda gwasanaethau, bydd adolygiad o'r cynigion yn cael ei gynnal gyda'r Uwch Dîm Arweinyddiaeth. Bydd proses y gyllideb hefyd yn cael ei hadolygu er mwyn penderfynu a oes angen ei mireinio neu ei diwygio. Bydd canlyniad hyn yn cael ei adrodd i'r gweithdy cyllideb ar gyfer aelodau ar 5 Mehefin.

Y bwch a ragwelir yn y gyllideb ar gyfer 2016/17 yw tua £8.8 miliwn. Mae arbedion o £2.7 miliwn wedi'u cymeradwyo fel rhan o'r broses gyfredol (yng nghamau 1 a 2 a gymeradwywyd ym mis Medi a Rhagfyr 2014) gan olygu mai'r blwch sy'n weddill yw tua £6.1 miliwn. Mae'r bwch yn y gyllideb yn cael ei gyfrifo drwy gymhwyso cyfres o dybiaethau. Y mwyaf arwyddocaol o'r rhain yw lefel y setliad i awdurdodau lleol ar ffurf Grant Cynnal Refeniw. Mae pob canran o newid i werth y setliad yn cyfateb i oddeutu £1.4 miliwn. Mae lefel sylweddol o ansicrwydd ynghylch setliad tebygol y Llywodraeth Leol ac mae'r ansicrwydd hwn yn debygol o barhau dros y misoedd nesaf. Hyd at fis Mai 2013, roedd gwerth y setliad yn gymharol gyson â'r arwyddion blaengynllunio a gyhoeddwyd yn genedlaethol yn 2011. Ers hynny, ni fu unrhyw setliad amlflwyddyn ac mae'r arwyddion yn newid yn gyson rhwng ac o fewn blynyddoedd ariannol. Yn absenoldeb gwybodaeth fwy dibynadwy am y setliad, mae'n rhaid i ni barhau â'r cynlluniau cyllideb i ddatblygu cynigion ar gyfer amrywiaeth o wahanol sefyllfaoedd. Bydd y setliad drafft ar gyfer llywodraeth leol yn cael ei gyhoeddi ym mis Hydref.

## **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 hyn yn ei gostio a sut y bydd yn effeithio ar wasanaethau eraill?**

Efallai y bydd ar y Cyngor angen sicrhau arbedion a mesurau eraill o oddeutu £8.8 miliwn dros y flynedd ariannol nesaf.

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

Bydd Aseiad o Effaith ar Gydraddoldeb yn cael ei gwblhau ar gyfer yr holl gynigion perthnasol wrth i'r broses ddatblygu.

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

Mae adroddiadau blaenorol wedi tynnu sylw manwl at y broses ymgynghori sylweddol a wnaed i gyflawni cyllidebau 2015/16 a 2016/17 ac mae'r rhain wedi'u hamlygu isod.

Yn ychwanegol at adroddiadau rheolaidd ar y broses i'r Pwyllgor Llywodraethu Corfforaethol, mae proses y gyllideb wedi'i hystyried gan CET, yr UDA, Briffio'r Cabinet a chyfarfodydd Briffio'r Cyngor. Mae Pwyllgorau Archwilio wedi adolygu cynigion penodol ac roedd un yn seiliedig ar argymhellion gan grŵp tasg a gorffen aelodau / swyddogion.

Erbyn diwedd y broses pennu cyllideb 2015/16, roedd deg gweithdy cyllideb wedi'u cynnal gydag aelodau etholedig er mwyn archwilio cyllidebau gwasanaethau ac ystyried cynigion cyllidebau. Mae pum gweithdy pellach wedi'u trefnu i ystyried cynigion a diwallu bwlch cyllideb 2016/17 ac efallai y bydd angen trefnu mwy wrth i'r broses fynd rhagddi.

Fel y nodir mewn adroddiadau blaenorol, cynhaliwyd ymarferiad ymgysylltu â'r cyhoedd i ystyried effaith cynigion y gyllideb ac mae trafodaethau parhaus rhwng rhai o wasanaethau'r Cyngor Sir a rhai Cyngorau Tref. Mae'r Cyngor wedi ymgynghori â'i bartneriaid trwy'r Bwrdd Gwasanaethau Lleol ar y Cyd ac mae trafodaethau penodol wedi'u cynnal gyda'r Heddlu.

Mae'r holl aelodau o staff wedi derbyn gwybodaeth ynglŷn â'r broses o osod y gyllideb a phan fydd cynigion yn newid i fod yn benderfyniadau, ymgynghorir yn llawn â'r staff yr effeithir arnynt, yn unol â pholisïau a gweithdrefnau AD y Cyngor.

Ymgynghorwyd â'r Undebau Llafur trwy'r Cyd-Bwyllgor Ymgynghorol Lleol. Cytunwyd ar broses ar gyfer ymgysylltu â staff a'u cynrychiolwyr Undeb Llafur yn CBYLI ym mis Medi ac mae'n cael ei weithredu.

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

Mae hon yn parhau'n broses anodd, a bydd rhai penderfyniadau anodd eu gwneud ar hyd y daith. Mae ymrwymiad a chefnogaeth aelodau etholedig yn y broses o wneud penderfyniadau ac archwilio'r broses yn hanfodol.

Nod proses y gyllideb yw sicrhau bod y Cyngor yn cyflwyno cyllideb gytbwys. Mae nifer o bwyntiau adolygu wedi'u hymgorffori i mewn i'r broses er mwyn

sicrhau ei bod yn aros ar y trywydd iawn a bod modd ei diwygio os nad ydyw. Mae'r ansicrwydd ynghylch lefel y setliad yn golygu y gall y bwlch yn y gyllideb a amcangyfrifwyd newid ar gyfer 16/17, ond mae'n rhaid i hyn gael ei ystyried yng nghyd-destun y tebygolrwydd y bydd setliadau negyddol yn parhau yn y tymor canolog.

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

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

Mae proses y gyllideb ei hun yn fesur rheoli risg, gyda'r nod o nodi, asesu a chytuno ar gynigion y gyllideb mewn modd cynlluniedig ac amserol. Mae'r broses fel yr amlinellwyd yn cynnwys digon o gyfleoedd i adolygu a diwygio os oes angen. Bydd lefel y cynigion a nodwyd ym mis Mehefin drwy ymgynghori â gwasanaethau a lefel y cynigion a gyflwynwyd gan aelodau yn llywio gweddill y broses.

Mae rheoli risg proses y gyllideb yn ystyriaeth allweddol y Pwyllgor Llywodraethu Corfforaethol ac mae risgiau penodol wedi'u codi mewn adroddiadau blaenorol. Wrth nodi pob cynnig mae'r risgiau ariannol a'r risgiau gwasanaeth yn cael eu nodi a'u hamlygu yn y gweithdai cyllideb wrth iddynt gael eu datblygu.

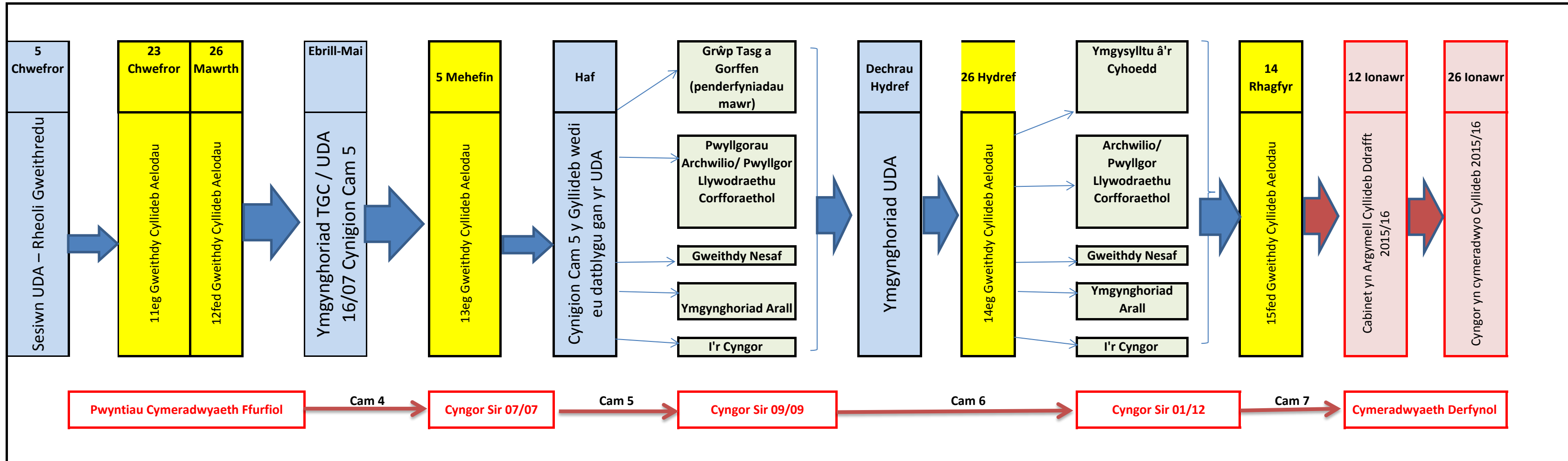
**11. Pŵer i wneud y Penderfyniad**

Dan Adran 151 Deddf Llywodraeth Leol 1972 mae'n ofynnol i Awdurdodau Lleol wneud trefniadau ar gyfer gweinyddu eu materion ariannol yn briodol.

**PROSES Y GYLLIDEB ARFAETHDIG 2016/17**

TROSOLWG O'R GYLLIDEB - Diweddariadau misol i'r Tîm Gweithredu Corfforaethol, y Pwyllgor Llywodraethu Corfforaethol a Briffio'r Cabinet

Tudalen 23



Mae tudalen hwn yn fwiadol wag



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

**Dyddiad y Cyfarfod:** 20 Mai 2015

**Aelod / Swyddog Arweiniol:** Cynghorydd Bobby Feeley, Aelod Arweiniol  
Gofal Cymdeithasol a Gwasanaethau Plant

**Awdur yr Adroddiad:** Rhiain Morrille, Rheolwr Gwasanaeth ar gyfer Plant  
sy'n Derbyn Gofal

**Teitl:** Diweddariad ar y Taliadau Ariannol i'r Rheiny sy'n Gadael Gofal

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## 1. Am beth mae'r adroddiad yn sôn?

Mae'r adroddiad hwn yn rhoi'r wybodaeth ddiweddaraf am y cynnydd gyda'r cynllun gweithredu a gynhwyswyd yn yr adroddiad Archwilio Mewnol ar Daliadau Ariannol i'r Rheiny sy'n Gadael Gofal a gyhoeddwyd ym mis Mawrth 2014.

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

Gofynnodd y Pwyllgor Llywodraethu Corfforaethol am adroddiad cynnydd yn ei gyfarfod ar 25 Mawrth 2015.

## 3. Beth yw'r Argymhellion?

- Bod y Pwyllgor yn adolygu a rhoi sylwadau ar yr adroddiad cynnydd.
- Bod y Pwyllgor yn penderfynu a yw'n fodlon â'r cynnydd hyd yma.
- Bod y Pwyllgor yn penderfynu a oes angen unrhyw adroddiadau dilynol, gan bwy ac ar ba ddyddiad.

## 4. Manylion yr Adroddiad

Roedd adroddiad Archwilio Mewnol ar Daliadau Ariannol i'r Rheiny sy'n Gadael Gofal a gyhoeddwyd ym mis Mawrth 2014 yn cynnwys cynllun gweithredu gyda phedwar Mater Cymedrol ac 14 o gamau gweithredu i fynd i'r afael â nhw. Pan gyflwynodd y Pennaeth Archwilio Mewnol yr adroddiad i'r Pwyllgor Llywodraethu Corfforaethol ar 15 Ebrill 2014, mynegodd y Pwyllgor rai pryderon o ran bod y broses dalu bresennol yn anghynnaladwy ac felly bu i'r Pwyllgor ofyn i Archwilio Mewnol gynnal adolygiad dilynol ac adrodd yn ôl iddynt.

Trafododd y Pwyllgor yr adroddiad dilynol ar 5 Tachwedd 2014 a 25 Mawrth 2015. Yn y cyfarfodydd hyn gwnaed rhywfaint o gynnydd yn erbyn y camau gweithredu ond yn y cyfarfod mwyaf diweddar roedd yna rai camau yn dal heb eu gweithredu, yn bennaf yn gysylltiedig â chyngor y gofynnwyd amdano gan y Gwasanaeth Caffael Cydweithredol.

Mae Atodiad 1 yn rhoi'r wybodaeth ddiweddaraf, sydd bellach yn dangos bod yr holl gamau gweithredu wedi'u cwblhau ar ôl cyngor a roddir gan y Gwasanaeth Caffael

Cydweithredol. Mae'r gwasanaeth wedi gallu lleihau ei ddefnydd o daliadau arian parod i bobl ifanc y bu'n gweithio â nhw drwy eu statws gadael gofal neu eu statws 'Southwark' (pobl ifanc 16-18 oed sy'n ddi-gartref). Mae'r defnydd o docynnau bws wedi bod yn arbennig o ddefnyddiol i gyflawni hyn a defnyddir gan adrannau eraill ar draws Gwasanaethau Plant a Theuluoedd.

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

Amherthnasol - adroddiad er gwybodaeth yn unig yw hwn

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

Amherthnasol - adroddiad er gwybodaeth yn unig yw hwn

**7. Beth yw prif gasgliadau'r Aseiad 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.**

Nid oes angen penderfyniad na chynnig ar gyfer newid mewn perthynas â'r adroddiad hwn, felly nid oes unrhyw effaith ar bobl sy'n rhannu nodweddion sydd wedi eu gwarchod.

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

Amherthnasol - adroddiad er gwybodaeth yn unig yw hwn

**9. Datganiad y Prif Swyddog Cyllid**

Nid oes unrhyw oblygiadau ariannol ynghlwm wrth yr adroddiad hwn.

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

Mae'n bwysig y glynir wrth y prosesau newydd er mwyn gallu parhau i gyfyngu ar y risgiau a amlygwyd yn yr adroddiad Archwilio Mewnol gwreiddiol. Bydd cadw at y broses newydd yn cael ei fonitro trwy oruchwylio a monitro gweithgarwch taliad.

**11. Pŵer i wneud y Penderfyniad**

Amherthnasol - adroddiad er gwybodaeth yn unig yw hwn.

# Action Plan

**Audit Follow-up Review of:** Care Leavers' Service - Financial Payments  
**Date:** February 2015  
**Action Plan Owner:** Head of Children and Family Services

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 27	There is a need to undertake a review of the process currently in place for making payments to care leavers.	<p>Set up a meeting with the Head of Revenues &amp; Benefits (and other staff as required) to discuss alternative methods of procuring goods and / or making payments to care leavers  <b>Rhiain Morrle / Julie Lavin &amp; Rod Urquhart – May 2014</b></p> <p><b>Progress at previous follow up</b>            RM to meet with Acting Strategic Procurement Manager and / or Head of Revenues &amp; Benefits to consider other options that may be available in respect of procuring goods / services at discounted prices - <b>Revised timescale – Dec. 2014</b></p>	<p>This action was altered as the issue was actually best dealt with from Collaborative Procurement Services. A meeting has been held and a Senior Procurement Officer is looking into the following areas</p> <ul style="list-style-type: none"> <li>• The current arrangement of purchasing white goods for care leavers</li> <li>• The proposal for the use credit union bank accounts and if these offer best value</li> <li>• Extending the use of bus passes across other services, and the saving that this would bring</li> </ul>	Waiting for the advice and guidance from Collaborative Procurement Services regarding current arrangements. Following this advises the procedures will be finalised.

Risk/ Issue No.	Risk/Issue	Agreed Action Responsibility & Timescale	Current Status	Further Action Needed
Tudalen 28		<p>Following the above, to undertake a review of the current payment process and implement changes as appropriate / required. - <b>Rhiain Morrille September 2014</b></p> <p><b>Progress at previous follow up</b> Various providers of accounts/cards were explored. The Credit Union has cards that will meet the young people's needs with added controls, depending on their age (no overdraft, accepted in shops, used to withdraw cash). Credit Union will also accept one BACs payment and will split the money as we instruct them. JL has met with manager of the Credit Union to progress with this option.</p> <p>JL to meet the Financial Assessment Officer who processes payments for care leavers. Further meeting planned with manager of Credit Union to finalise agreement prior to implementation. <b>Revised timescale - Dec. 2014</b></p>	<p>Once the report from Collaborative Procurement is received the outstanding action points from can be addressed.</p> <p><b>April 2015 –Update</b></p> <p>Collaborative Procurement Service have offered the view that the current system in place for the purchase of white goods, given the small numbers and the need to undertake direct work with young people, offer the best value for money.</p> <p>It has been agreed to further the use of bus passes across Children and Family Services.</p> <p>Credit union accounts have been actioned.</p>	<p><b>April 2015 –Update</b></p> <p>Completed</p>
	<p>Objectives should be considered to achieve the following:</p>			
	<ul style="list-style-type: none"> <li>•Setting up a bank account or alternative for every care leaver as soon as possible following referral to the service to equip them to receive payments in this way and to learn about budget management.</li> </ul>	<p>Note: Bank accounts are set up for care leavers. There is a process to support some of those who are unable to manage budgeting matters. Training, support and advice is in place and bank accounts applied for when the service is confident that this best meets the assessed needs of the individual young person.</p> <p>Set up a process where six-weekly reviews of the bank account situation for each young person is monitored. <b>Julie Lavin and other Social Workers – May 2014</b></p>	<p><b>Complete at previous follow up</b></p>	

Risk/ Issue No.	Risk/Issue	Agreed Action Responsibility & Timescale	Current Status	Further Action Needed
Tudalen 29	<ul style="list-style-type: none"> <li>• Maximising value for money through negotiating with third party suppliers, e.g. Arriva for bus passes or with white good suppliers, where greater discounts can be obtained through framework agreements.</li> </ul>	<p>To be factored into the overall review</p> <p><b>Progress at previous follow up</b> Meeting to be held to discuss procurement matters (see note above)</p>	<p><b>Awaiting view of Collaborative Procurement</b></p> <p><b>April 2015 –Update</b> Bus passes are in use across the Looked After Service, agreement has been given to extend their use across all services within Children and Family Services.</p> <p>Collaborative Procurement have offered the view that given the small numbers of white goods purchased, the issue of storage if bought in advance, and the direct work undertaken with the young person during whilst utilising their first home grant, that the current system is appropriate and offers good value for money.</p>	<p><b>April 2015 –Update</b> Completed</p>
	<ul style="list-style-type: none"> <li>• To explore more modern and secure ways of making payments, such as using pre-paid cards where the level of spend can be easily monitored and controlled. This would replace the need to administer transactions through the petty cash account, which is costly and labour intensive.</li> </ul>	<p>To be factored into the overall review</p> <p><b>Progress at previous follow up</b> Arrangements to be finalised (see note above)</p>	<p>We have explored this and have a system that we can use, however we are waiting for the view of Awaiting view of Collaborative Procurement as to the cost effectiveness of the identified scheme.</p> <p><b>April 2015 –Update</b></p> <p>Following the meetings held with Collaborative Procurement it has been agreed that The Credit union account is appropriate and will be used.</p>	<p><b>April 2015 –Update</b> Completed</p>

Risk/ Issue No.	Risk/Issue	Agreed Action Responsibility & Timescale	Current Status	Further Action Needed
	Additionally, there is a need to consider cross-service working on this project to take advantage of skill sets outside the social care environment, e.g. price negotiation and marketing.	To be factored into the overall review  <b>Progress at previous follow up</b> Meeting to be held to discuss procurement matters (see note above)	Meeting held, areas for exploration agreed.	Completed
Tudalen 30	2. The procedures currently in place for the Care Leavers service are in need of review but we accept that it may be practical to deal with this exercise after the previous issue has been addressed. Linked to this, associated areas of concern include the following:			
	<ul style="list-style-type: none"> <li>The schedule of allowances payable should be reviewed and approved by an appropriate senior manager on an annual basis.</li> </ul>	Service Manager to review schedule <b>Rhiain Morrille – April 2014</b>	<b>Completed at previous follow up</b> Review of payment for this financial year done and no changes were made. Payments for next financial year to be agreed following confirmation of budget position. - Completed	
	<ul style="list-style-type: none"> <li>The same should be followed for the leaving care first home grants (if they are to continue in the same way after the review).</li> </ul>	Service Manager to review schedule <b>Rhiain Morrille – April 2014</b>	<b>Completed at previous follow up</b> As above	
	<ul style="list-style-type: none"> <li>All social workers dealing with care leavers may require some refresher training to help raise awareness of the need to adhere to the procedures if the service is to ensure a fair and consistent process and that the financial framework is robust.</li> </ul>	Workshop within Practice Group meeting <b>Julie Lavin – April 2014</b>  <b>Progress at previous follow up</b> Put back until new team member in post. To be held in November as part of team day for 14+ team and Barnardo's Personal Advisor staff. <b>Revised timescale – Nov. 2014</b>	A development day for 14+ Practice Group and the Barnardo's Personal Advisor Service has been arranged for April 2015.	<b>April 2015 -Update</b> Complete - Development day held on 22 <sup>nd</sup> April 2015.

Risk/ Issue No.	Risk/Issue	Agreed Action Responsibility & Timescale	Current Status	Further Action Needed
Tudalen 31		<p>Further revision to procedures to be made to reflect any changes to the payment process (resulting from the work in Issue 1 above) <b>Rhiain Morrle – After the completion of the payment process review.</b></p> <p><b>Progress at previous follow up</b> See Issue 1</p>	<p>Awaiting view of Collaborative Procurement</p> <p><b>April 2015 – update</b> Completed.</p>	Completed
	<p>3. Until legislation is provided in respect of the Council's duty and responsibility to young people who present themselves as homeless (under the Southwark Judgement agreement) there is a need for interim guidance on the financial support that is to be provided.</p> <p>All social workers dealing with the individuals will need to be aware of its content and to adhere to it when making payments.</p>	<p>Interim policy and guidance to be rewritten / updated and shared with all relevant staff. <b>Rhiain Morrle – April 2014</b></p> <p><b>Progress at previous follow up</b> Update of interim policy – Completed with exception of RM adding a policy position statement. To be discussed at Southwark Judgement implementation group and members of Housing Services. <b>Revised timescale – December 2014</b></p> <p>Further revision to procedures to be made to reflect any changes to the payment process (resulting from the work in Issue 1 above) <b>Rhiain Morrle – After the completion of the payment process review.</b></p> <p><b>Progress at previous follow up</b> See Issue 1</p>	<p>Completed.</p> <p>Awaiting view of Collaborative Procurement</p> <p><b>April 2015 – update</b> Completed.</p>	Completed.

Risk/ Issue No.	Risk/Issue	Agreed Action Responsibility & Timescale	Current Status	Further Action Needed
4.	The service should consider setting up an agreement with the care leaver to ensure that they have a responsibility to declare a change of circumstances to their Personal Advisor or Social Worker as and when their circumstances change, e.g. when DWP benefits become payable, to mitigate the risk that the service may continue to make payments indefinitely	Work in progress - DCC, DWP and Barnardo's are currently working on a three-way confidentiality agreement that will allow certain information to be disclosed (i.e. benefit start dates ). This will be followed by work on an agreement where the Care Leaver can apply for benefit six weeks prior to their 18th birthday and payment to be made soon after their 18th birthday. This will eradicate the need for a balance or a compromise in our corporate parenting 'moral' duties and ensure that we are more aware of a young person's change of circumstances. <b>Julie Lavin, Debbie Rogers, Andrea Dixon – May 2014</b>	<b>Completed at previous follow up</b> Agreement in place and in use.	
		A form for the care leaver will also be devised where they agree to inform of change of circumstances. <b>Julie Lavin – May 2014</b>	<b>Completed at previous follow up</b> Form in place and in use.	

Tudalen 32



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

**Dyddiad y Cyfarfod:** 20 Mai 2015

**Aelod Arweiniol / Swyddog:** Barbara Smith - Aelod Arweiniol Moderneiddio

Alan Smith - Pennaeth Gwella Busnes a Moderneiddio

**Awdur yr Adroddiad:** Alan Smith

**Teitl:** Adroddiad SIRO ar gyfer 2014/15

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## 1. Am beth mae'r adroddiad yn sôn?

Mae'r adroddiad yn cwmpasu'r cyfnod o Ebrill 2014 i Fawrth 2015 ac yn rhoi manylion ynghylch achosion o dorri'r ddeddf diogelu data gan y Cyngor sydd wedi bod yn destun ymchwiliad gan yr Uwch Swyddog Risg Gwybodaeth (SIRO – yn CSDd dyma'r Pennaeth Gwella Busnes a Moderneiddio). Mae hefyd yn ymdrin â chwynion am y Cyngor yn ymwneud â deddfwriaeth Rhyddid Gwybodaeth sydd wedi cael eu cyfeirio at y Comisiynydd Gwybodaeth, ac yn rhoi rhywfaint o wybodaeth am geisiadau Mynediad i Wybodaeth a wneir i'r Cyngor.

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

Mae Polisi Diogelu Data y Cyngor yn gofyn am adroddiad blynyddol ar gynnydd i'r Pwyllgor Llywodraethu Corfforaethol ganiatáu'r Aelodau i oruchwylio'r broses.

## 3. Beth yw'r Argymhellion?

Dylai cynnwys yr adroddiad gael ei nodi gan y Pwyllgor.

## 4. Manylion yr Adroddiad.

Ochr yn ochr â'r Swyddog Diogelu Data, mae'r Uwch Swyddog Risg Gwybodaeth (SIRO) â chyfrifoldeb penodol i sicrhau bod yr wybodaeth a gedwir gan y Cyngor yn cael ei rheoli'n ddiogel, yn effeithiol ac yn unol â'r deddfwriaeth. Mae'r systemau a gynlluniwyd i sicrhau bod y rolau hyn yn cael eu gwneud yn llwyddiannus yn dibynnu ar dryloywder a bod yn agored, felly mae'n arbennig o bwysig bod Aelodau'n cael trosolwg o'r broses.

Felly, mae'r adroddiad hwn wedi'i gynllunio i fod yn rhan o 'fusnes fel arfer', o ran ei fod yn ffurfio rhan o'r ymrwymadau a wnaed ym mholisiâu Diogelu Data a Mynediad i Wybodaeth y Cyngor. Mae'r atodiadau felly â manylion ynghylch rhai o'r camau gweithredu allweddol yn y maes hwn dros y flwyddyn hyd at 31 Mawrth 2015, gan ganolbwyntio ar y toramodau Diogelu Data a adroddwyd i'r Uwch Swyddog Risg Gwybodaeth (atodiad A). Gwybodaeth arall sydd wedi'i chynnwys i roi gwybod i'r Aelodau: rhestr o gwynion a wnaed i'r Swyddfa

Comisiynydd Gwybodaeth (ICO) am y Cyngor, a'r canlyniad (atodiad C); ystadegau yn ymwneud â derbyn ceisiadau Mynediad i Wybodaeth a thabl sy'n nodi'r anghydfodau sy'n cael eu trin gan y panel Mynediad i Wybodaeth a chanlyniadau'r panel (Atodiad B).

Bydd Aelodau'n sylwi na fu unrhyw dor-amodau mawr o'r Ddeddf Diogelu Data gan y Cyngor yn y cyfnod hwn, a dim ond dau sydd wedi'u hystyried fel bod yn ddigon dirifol i roi gwybod i Swyddfa'r Comisiynydd Gwybodaeth, yn hytrach na 4 y llynedd. Hefyd bu gostyngiad cyffredinol yn nifer yr achosion sydd angen i'r Uwch Swyddog Risg Gwybodaeth weithredu arnynt, o 8 y llynedd i 5 y flwyddyn hon, y gellir o bosibl fod o ganlyniad i'r ymwybyddiaeth gynyddol o faterion diogelu data yn y Cyngor yn ei gyfanrwydd.

Bydd yr Aelodau hefyd yn nodi bod y nifer uchel iawn o geisiadau mynediad i wybodaeth a ddaeth i law y Cyngor y tynnais sylw atynt yn adroddiad y llynedd wedi parhau, er gwaethaf y ffaith ein bod bellach yn cyhoeddi mwy o wybodaeth ar wefan CSDd nag erioed o'r blaen. Mae ceisiadau cyffredinol ar gyfer y cyfnod hyd at 31 Mawrth yn 1,137, sy'n dal yn fwy na 90 y mis. O'r rhain, fe wnaeth 91% ohonynt ymateb o fewn yr amserlen briodol. Mae'r llwyth gwaith yn cael ei reoli ar hyn o bryd gan un swyddog llawn amser yn y tîm Gwybodaeth Gorfforaethol canolog, ond mae'n cynnwys cryn dipyn o amser yn cael ei roi gan Swyddogion Rheoli Gwybodaeth a enwebwyd (IMOs) yn y Gwasanaethau.

Mae'r ceisiadau hyn yn canolbwyntio ar rai meysydd yn fwy nag eraill, ac yn bennaf yn ymwneud â busnes. Y pum maes mwyaf cyffredin o ymholiadau dros y 12 mis diwethaf yw:

1. Angladdau lechyd y Cyhoedd
2. Trethi Busnes
3. Contractau - TGCh yn arbennig
4. Plant sy'n Derbyn Gofal / Amddiffyn Plant (- tua 50% gan y Cyfryngau, mae'r 50% arall yn bennaf gan unigolion)
5. Gofal Cartref / Gofal Cymdeithasol (tua 50% gan Fusnes, 20% Cyfryngau, 20% Unigolion, 10% Elusennau / Grwpiau Llosgi a Gwleidyddion)

Ar y cyfan, o'r 1137 o geisiadau, daeth 499 (43%) gan Unigolion (llawer ohonynt yn bobl fusnes neu o'r cyfryngau nad ydynt yn ystyried eu hunain fel y cyfryw); 202 (17%) yn dod gan Fusnesau; 168 (14%) gan y Cyfryngau; 64 (5%) gan Wleidyddion; 56 (4%) gan Elusennau a Grwpiau Llosgi; 41 (3%) gan Academyddion. Daeth y gweddill gan grwpiau eraill, gan gynnwys y GIG, Cyfreithwyr, Undebau a'r Heddlu.

Mewn rhai achosion, cafodd penderfyniadau ynglŷn â mynediad i wybodaeth eu herio gan y gofynnwr, neu nid oedd cytundeb yn fewnol ynghylch a ddylai gwybodaeth a gedwir gan y Cyngor gael ei rhyddhau ai peidio. Cafodd yr achosion hyn eu hadolygu gan Banel a gadeiriwyd gan Bennaeth y Gwasanaethau Cyfreithiol, AD a Democrataidd. Cyfarfu'r panel 3 gwaith yn ystod y flwyddyn ac adolygwyd 7 o achosion. Mae Atodiad B yn rhestr o'r rhain, ynghyd â chanlyniad pob adolygiad. Unwaith eto, mae hyn yn welliant ar y llynedd, lle'r oedd angen panel ar 9 achlysur i adolygu 14 o achosion.

Yn y cyfnod 14/15, gwnaed 3 cwyn o dan y Ddeddf Rhyddid Gwybodaeth i Swyddfa'r Comisiynydd Gwybodaeth am y Cyngor, yr un nifer â'r llynedd (Gweler Atodiad C). O'r tair, canfuwyd dwy o blaid y Cyngor. Yn y drydedd, canfuwyd ein bod wedi torri'r ddeddfwriaeth drwy gymryd gormod o amser i ymateb i Gais Testun Gwybodaeth. Tra edifarwyd am hyn,

cydnabyddir Swyddfa'r Comisiynydd Gwybodaeth ei fod yn ddarn arbennig o gymhleth o waith a bod y ffactor hwn wedi cyfrannu at yr ymateb hwyr. Nid oedd angen unrhyw gamau gweithredu pellach ar ran y Cyngor gan y Comisiynydd. Ers yr achos hwn, mae gweithdrefnau wedi cael eu gwella er mwyn sicrhau bod achosion cymhleth yn cael eu cydnabod yn gynnar yn y broses er mwyn gwneud ymatebion amserol.

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

Mae'r adroddiad hwn yn cefnogi amcan y Cyngor i foderneiddio, ond nid yw'n uniongyrchol gysylltiedig â blaenoriaeth gorfforaethol.

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

Nid oes unrhyw oblygiadau ariannol i'w hystyried.

**7. Beth yw 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.**

Nid oes angen asesiad gan fod yr adroddiad hwn er gwybodaeth yn unig.

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

Dim, mae'r adroddiad er gwybodaeth yn unig.

**9. Datganiad y Prif Swyddog Cyllid**

Nid oes ei angen

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

Mae camau gweithredu'r aelodau sy'n archwilio'r adroddiad hwn yn rhan o'r broses o liniaru'r risg corfforaethol sy'n ymwneud â rheoli gwybodaeth.

**11. Pŵer i wneud y Penderfyniad**

Nid oes angen penderfyniad.

## Atodiad A: Torri Rheolau Diogelu Data 2014/2015

Dyddiad	Gwasanaeth dan sylw	Disgrifiad	Camau a gymerwyd	ICO wedi cael gwybod
<b>Gorffennaf 2014</b>	Addysg	Data personol wedi'i anfon i gyfeiriad anghywir	Testun y data wedi cael gwybod  Gwella gweithdrefnau gwirio cyfeiriadau  Symud ymlaen â gweithredu EDRMS	Naddo
<b>Tachwedd 2014</b>	Gwasanaethau Plant a Theuluoedd	Gweithiwr cymdeithasol wedi e-bostio data personol sensitif i gyfeiriad e-bost cartref i'r aelod o'r teulu deipio nodiadau.	Testun y data yr effeithiwyd arnynt wedi cael gwybod am y toriad  Aelod o staff wedi'i ddisgyblu  Aelod o staff wedi'u riportio i gorff proffesiynol	Do
<b>Rhagfyr 2014</b>	CFS	Data personol wedi'i anfon i gyfeiriad anghywir	Prosesau gwell ar gyfer gwirio cyfeiriadau ar waith - canllawiau wedi'u dosbarthu i Reolwyr Canol	Naddo
<b>Ionawr 2015</b>	Tai	Ffeiliau sy'n cynnwys gwybodaeth personol wedi'u canfod mewn Storfa Dogfen Weithredol (WDS) gyda mynediad agored ar draws y Cyngor	Ffeiliau wedi'u tynnu oddi ar yr WDS.  Cyfathrebu gyda Rheolwyr Canol yn gofyn iddynt adolygu eu ffeiliau ar WDS	Naddo
<b>Mawrth 2015</b>	Tai	Data personol wedi'i gyhoeddi mewn adroddiad i'r Cabinet a gyhoeddwyd wedyn ar y wefan.	Testunau'r data wedi cael gwybod  Cyfarfod â staff mewnol i drafod amgylchiadau'r tor amod  Trefniadau goruchwyllo adroddiadau pwyllgor gwell - Adroddiad i'r UDA Ebrill 2015	Do

**Atodiad B: Cyfarfodydd Panel Mynediad i Wybodaeth 2014-15**

Dyddiad	Cyf	Testun	Canlyniad
<b>15.4.2014</b>	DP540	Achos cymhleth	Cytuno ar ddull
	FOI 3575	Gwasanaethau Cwmwl	Adran 1 (1) (gwybodaeth heb ei dal) ac ymateb rhannol
	FOI 3730	Diogelwch TG	Eithriad 31 (gorfodi'r gyfraith) ac ymateb rhannol
	FOI 3761	Cartrefi Gwag	Angen eglurhad gan Geisiwr (dim ymateb)
	FOI 3689	Cynnal a chadw tiroedd	Datgelu ar ôl trafodaeth diffiniad
		FOI Angladdau Iechyd y Cyhoedd	Cytuno ar adran 31 (gorfodi'r gyfraith) ar gyfer yr holl ddata personol y gofynnwyd amdano. Angen monitro
<b>20.8.2014</b>	Llythyr CFS	Trafodaeth - achos cymhleth	Cytunwyd ar ymateb rhannol ac roedd Adran 40 (2) yn gymwys i 4 cwestiwn (data personol).
	FOI 3945	Band eang mewn ysgolion	A43 (2) eithriad (sensitifrwydd masnachol) ac ymateb rhannol
	FOI 3975	Contractau Glanhau ac Arlwyo	A43 (2) (sensitifrwydd masnachol) wedi'i wrthod
<b>11.9.2014</b>	FOI 3975	Apêl wedi'i chlywed eto gan nad oedd penderfyniad y panel wedi'i dderbyn.	A43 (2) (sensitifrwydd masnachol) wedi'i wrthod. A1 (1) (a) gwybodaeth heb ei dal yn berthnasol i gwestiynau arlwyo

**Atodiad C: Cwynion i Swyddfa'r Comisiynydd Gwybodaeth ynglŷn â CSDd**

<b>Dyddiad</b>	<b>Cyf</b>	<b>Mater</b>	<b>Canlyniad</b>
<b>Mawrth 2014</b>	DP 540	Ymateb hwyr i gais Testun Gwybodaeth	Canfu Swyddfa'r Comisiynydd Gwybodaeth yr aethpwyd dros y terfynau amser, ond nid oedd angen cymryd unrhyw gamau pellach.
<b>Awst 2014</b>	DP 598 (RFA0570683)	Cwyn nad oedd CSDd wedi darparu gwybodaeth yn unol â'r ddeddfwriaeth.	Canfu fod CSDd wedi gweithredu yn gywir
<b>Chwef 2015</b>	DP 392 (FER0538283)	Cwyn nad oedd CSDd wedi darparu gwybodaeth yn unol â'r ddeddfwriaeth.	Canfu fod CSDd wedi gweithredu yn gywir

SIRO Report for 2014/15  
20<sup>th</sup> May 2015

Equality Impact Assessment

# SIRO Report 2014/15

**Contact:** Alan Smith, Head of Business Improvement & Modernisation  
**Updated:** 28.04.2015

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

Other

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

No decision is required. The report is for information only.

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

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

No	The report is a summary of data protection activity undertaken by the Senior Information Risk Officer during the course of the 2014/15 financial year, and as such, is for the Committees information only.>
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**4. Please provide a summary of the steps taken, and the information used, to carry out this assessment, including any engagement undertaken**

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

<Type here>

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

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

<Please summarise any likely positive impact and identify which protected characteristics will benefit>



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

<Please summarise any disproportionate negative impact and identify which protected characteristics will be affected>
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7. Has the proposal / decision been amended to eliminate or reduce any potential disproportionate negative impact? If no, please explain why.

<Please Select>	<If yes, please provide detail>
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8. Have you identified any further actions to address and / or monitor any potential negative impact(s)?

<Please Select>	<If yes please complete the table below. If no, please explain here>
-----------------	--

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

## 9. Declaration

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

Review Date:	n/a
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Name of Lead Officer for Equality Impact Assessment	Date
<Alan Smith>	<28.4.2015>

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

Mae tudalen hwn yn fwriadol wag

<b>Adroddiad i'r:</b>	<b>Pwyllgor Llywodraethu Corfforaethol</b>
<b>Dyddiad y Cyfarfod:</b>	<b>20 Mai 2015</b>
<b>Aelod / Swyddog Arweiniol:</b>	<b>Julian Thompson-Hill - Aelod Arweiniol dros Gyllid ac Asedau Ivan Butler - Pennaeth Archwilio Mewnol</b>
<b>Awdur yr Adroddiad:</b>	<b>Ivan Butler - Pennaeth Archwilio Mewnol</b>
<b>Teitl:</b>	<b>Adroddiad Archwilio Mewnol Blynyddol 2014-15</b>

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

Mae'r adroddiad hwn yn darparu'r Adroddiad Archwilio Mewnol Blynyddol i'r Pwyllgor ar gyfer 2014-15 sy'n rhoi barn gyffredinol y Pennaeth Archwilio Mewnol ar ddigonolrwydd ac effeithiolrwydd fframwaith llywodraethu, risg a rheolaeth y Cyngor yn ystod y flwyddyn sy'n llywio'r 'datganiad llywodraethu blynyddol'.

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

Mae Safonau Archwilio Mewnol y Sector Cyhoeddus (PSIAS) yn ei gwneud yn ofynnol i'r 'prif weithredwr archwilio' ddarparu barn archwilio mewnol blynyddol ac adroddiad y gall y sefydliad ei ddefnyddio i lywio ei ddatganiad llywodraethu. Mae cylch gorchwyl y Pwyllgor hwn yn ei wneud yn ofynnol iddynt ystyried adroddiad blynyddol yr archwilwyr mewnol.

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

Mae'r Pwyllgor yn ystyried ac yn rhoi sylwadau ar adroddiad blynyddol y Pennaeth Archwilio Mewnol a'r 'farn' gyffredinol.

## **4. Manylion yr Adroddiad**

Mae Adroddiad Archwilio Mewnol 2014-15 wedi'i gynnwys yn Atodiad 1 ac yn dangos:

- bod y Pennaeth Archwilio Mewnol wedi rhoi 'sicrwydd canolig' yn nigonolrwydd ac effeithiolrwydd cyffredinol amgylchedd rheolaeth fewnol y Cyngor, gan gynnwys ei drefniadau ar gyfer llywodraethu a rheoli risg;
- nid oes unrhyw beth ynghlwm wrth 'farn' y Pennaeth Archwilio Mewnol;
- lefel y gwaith a wnaeth yr Archwilwyr Mewnol i gyrraedd y 'farn' gyffredinol;
- sut y mae Archwilio Mewnol yn cydymffurfio â'r PSIAS; a
- chrynodeb o berfformiad Archwilio Mewnol yn ystod y flwyddyn.

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

Amherthnasol - Nid oes angen gwneud penderfyniad ynglŷn â'r adroddiad hwn.

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

Amherthnasol - Nid oes unrhyw gostau ynghlwm â'r adroddiad hwn, gan ei fod er gwybodaeth yn unig.

**7. Beth yw prif gasgliadau'r Aseiad 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.**

Amherthnasol - Nid oes angen penderfyniad na chynnig ar gyfer newid mewn perthynas â'r adroddiad hwn, felly nid oes unrhyw effaith ar bobl sy'n rhannu nodweddion sydd wedi eu gwarchod.

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

Amherthnasol - Nid oes unrhyw ofyniad i ymgynghori ar yr adroddiad hwn, gan ei fod yn darparu 'barn' annibynnol a gwrthrychol y Pennaeth Archwilio Mewnol.

**9. Datganiad y Prif Swyddog Cyllid**

Amherthnasol - Nid oes unrhyw oblygiadau ariannol ynghlwm â'r adroddiad hwn, gan ei fod er gwybodaeth yn unig.

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

Amherthnasol - Nid oes unrhyw risgiau ynghlwm â'r adroddiad hwn, gan ei fod er gwybodaeth yn unig.

**11. Pŵer i wneud y Penderfyniad**

Nid oes angen gwneud penderfyniad ar gyfer yr adroddiad hwn, ond mae gofyniad dan Fesur Llywodraeth Leol (Cymru) 2011 i'r 'pwyllgor archwilio' adolygu ac asesu trefniadau rheoli risg, rheolaeth fewnol a threfniadau llywodraethu corfforaethol y Cyngor a goruchwyllo trefniadau archwilio mewnol y Cyngor.

# **Internal Audit Annual Report 2014-15**

**Ivan Butler MBA, CMIIA**  
**Head of Internal Audit Services**

**May 2015**

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## Introduction & Background

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The Public Sector Internal Audit Standards (PSIAS) require the 'chief audit executive' to deliver an annual internal audit (IA) opinion and report that the organisation can use to inform its governance statement. The annual opinion must conclude on the overall adequacy and effectiveness of the organisation's framework of governance, risk management and control, and incorporate:

- the IA opinion;
- a summary of the work that supports the IA opinion;
- a statement on the IA service's conformance with the PSIAS; and
- the results of the IA service's quality assurance and improvement programme.

## Internal Audit Opinion 2014-15

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In the Head of Internal Audit's opinion, Denbighshire County Council can have 'medium' assurance in the overall adequacy and effectiveness of its internal control environment, including its arrangements for governance and risk management.

There are no qualifications to this opinion.

In forming this opinion, the Head of Internal Audit (HIA) has used the same assurance ratings that IA uses in its reports.

<b>Green</b>	High Assurance	Risks and controls well managed
<b>Yellow</b>	Medium Assurance	Risks identified but are containable at service level
<b>Amber</b>	Low Assurance	Risks identified that require meeting with Director/Lead Member
<b>Red</b>	No Assurance	Significant risks identified that require member / officer case conference

The HIA has based his 2014-15 opinion on:

- the scope and outcome of IA's work during the year;
- IA report opinions and assurance ratings;
- the issues and risks that IA has raised during the year;
- the effectiveness of management's response to the issues and risks that IA has raised; and
- the outcome of the Council's review of its Corporate Governance Framework and governance arrangements 2014-15.



## Summary of Work to Support the Opinion

The HIA provides regular progress reports to the Corporate Governance Committee that include:

- an update on progress with delivery of the annual IA assurance plan;
- details of IA reports issued;
- details of IA follow-up work carried out; and
- IA service performance.

IA issued 25 audit opinions during the year, categorised as follow:

<b>Green</b>	High Assurance	11
<b>Yellow</b>	Medium Assurance	13
<b>Amber</b>	Low Assurance	1
<b>Red</b>	No Assurance	0

During the year, IA provided the following audit opinions:

Area of Work	Status of Project	Assurance Rating	Comments
<b>Statutory Assurance</b>			
Financial Systems (Ruthin) - Activedata Testing 2013/14	Complete	<b>Medium</b>	
Financial Assurance 2014/15 - Ruthin-based Services	Draft report	<b>Medium</b>	Discussing draft report and agreeing action plan
Financial Assurance 2014/15 - Rhyl-based Services	Complete	<b>Medium</b>	
Welsh Government 6 <sup>th</sup> Form Funding – overall management	Complete	<b>High</b>	
Welsh Government 6 <sup>th</sup> Form Funding – Denbigh High School	Complete	<b>Medium</b>	
Welsh Government 6 <sup>th</sup> Form Funding – Ysgol Glan Clwyd	Complete	<b>High</b>	
Welsh Government 6 <sup>th</sup> Form Funding – Prestatyn High School	Complete	<b>High</b>	
Welsh Government 6 <sup>th</sup> Form Funding – St. Brigid’s School	Complete	<b>Medium</b>	
Welsh Government 6 <sup>th</sup> Form Funding – Ysgol Brynhyfryd	Complete	<b>High</b>	
Welsh Government 6 <sup>th</sup> Form Funding – Ysgol Dinas Bran	Complete	<b>High</b>	
Community Safety Partnership	Complete	<b>Medium</b>	

Area of Work	Status of Project	Assurance Rating	Comments
Corporate Procurement	Draft report	Medium	Discussing draft report and agreeing action plan
Review of Strategic HR	Complete	Medium	
Member & Officer Remuneration	Complete	Medium	
Declarations of Interest & Hospitality	Complete	Medium	
Information Governance	Complete	Medium	
Cefndy Healthcare	Draft report	Medium	Discussing draft report and agreeing action plan
Cashiers Service	Draft report	High	Discussing draft report and agreeing action plan
Education - Financial Management	Complete	High	
Education - Procurement	Complete	High	Verbal presentation to School Finance Managers
Legal Services	Complete	Low	Action plan being followed up
Coroners Service	Complete	High	
Taxi & Operator Licensing	Complete	Medium	
Cessation of Employment	Complete	Medium	
Constitutional Arrangements - S151 Officer Role	Complete	High	

IA also reviewed high inherent risks from the Corporate Risk Register and various other areas from the Corporate Governance Framework during the year, not issuing formal reports but providing positive feedback on the management of these areas.

## Conformance with Public Sector Internal Audit Standards

The objectives of the PSIAS are to:

- define the nature of internal auditing within the UK public sector;
- set basic principles for carrying out internal audit in the UK public sector;
- establish a framework for providing internal audit services, which add value to the organisation, leading to improved organisational processes and operations; and
- establish the basis for the evaluation of internal audit performance and to drive improvement planning.

During the year, the HIA carried out a self-assessment of the IA service against the PSIAS. Overall, the service fully complies with the majority of the Standards and elements of the Code of Ethics, and at least partially conforms to all others. The following action plan will be implemented during 2015/16 to address areas of improvement identified during the self-assessment.

Improvement Area	Target Date
<p>HIA to amend the process and content of the IA team's annual signing of the confidentiality and declaration of interest form to raise awareness of various requirements from PSIAS:</p> <ul style="list-style-type: none"> <li>• CIIA's Code of Ethics</li> <li>• Reference to DCC's Officer Code of Conduct</li> <li>• Requirements relating to data protection</li> <li>• Awareness of PSIAS</li> </ul>	31/05/15
HIA to check whether consultation with IA is a requirement of Financial Regulations, the project management methodology, policy development process etc. Any IA involvement could include advice on governance.	30/06/15
HIA to develop a governance framework for 'arms-length' organisations, partnerships, major service providers etc.	30/06/15
HIA to develop a fraud assurance plan during to enable the IA team to complete some proactive fraud work in future.	30/06/15
<p>HIA to review and amend the IA Charter for Corporate Governance Committee approval to take account of requirements of PSIAS:</p> <ul style="list-style-type: none"> <li>• Changes to the IA structure following service reorganisation</li> <li>• Providing assurance to external partners for reviews carried out by the service</li> <li>• Mandatory definition of IA</li> <li>• Details of the form, content and frequency that the HIA will report on the internal self-assessment and independent external assessment of the service against PSIAS and progress with the resulting improvement plan.</li> </ul>	31/07/15
The CISA qualified Senior Auditor has just returned from maternity leave and the HIA will assess the effectiveness of succession planning in IT areas to identify any knowledge gaps that need to be addressed through training or knowledge transfer on the Senior Auditor's return to work.	31/08/15

Improvement Area	Target Date
Although a wide range of training & development is undertaken in IA, there is no record of this as evidence. HIA to develop a training log for all members of staff in the IA team.	31/08/15
HIA to review learning outcomes from the CIPFA Certificate in Corporate Governance course to see whether there are any areas that would provide beneficial to the IA service in future projects.	31/12/15
HIA to review and revise all IA guidance documents to ensure that they cover all relevant areas, processes etc.	31/03/16
HIA to develop a more formal process to obtain feedback on projects and the IA service overall	31/03/16
HIA to ensure that an external review of the IA service is completed by the due date and every 5 years after that. A report will be produced for Corporate Governance Committee once the external review completed.	31/03/18

## Internal Audit Performance

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IA measures its performance in two key areas:

- Provision of ‘Statutory Assurance’ - these projects ensure that the Council delivers its S151 Officer obligations, is managing its main corporate risks and has robust arrangements in place for corporate governance and delivery of its corporate priorities.
- ‘Customer Standards’ - a range of indicators to ensure that IA delivers a good service to its customers.

The results below show that, overall, the service delivered 92% of ‘Statutory Assurance’ projects during the year, with just three projects not completed. These three project will be completed as part of the 2015/16 audit work.

Given that the service has undergone a significant change during the year as part of the Freedom & Flexibilities Review, this is a considerable achievement and does not have an adverse impact on the HIA being able to provide an annual ‘Opinion’.

Where the service has not achieved 100% in its customer standards performance, the HIA has discussed the cases with relevant members of the IA team. Given the disruption to the team during the year, performance has been good, but will be improved during 2015/16.

<b>Statutory Assurance – target 100%</b>
<b>Review of agreed Statutory Assurance areas in IA Assurance Plan for the Annual IA Report</b>
Actual performance 92%, with 35 of 38 projects completed.
<b>Customer Standards – all targets 100% (but minimum performance tolerated 90%)</b>
<b>Contact customers at least 2 weeks in advance to arrange a suitable date for our visit</b>
Actual performance for the year was 100%.
<b>Send customers the agreed Project Scoping Document before we commence work</b>
Actual performance for the year was 96%. One project commenced without issuing the Scoping Document.
<b>Send the customer a draft report within 10 working days of the closing meeting</b>
Actual performance for the year was 93%. Two draft reports issued after the 10 day target (13 and 17 days).
<b>Send the customer our final audit report within 5 working days of agreeing the draft</b>
Actual performance for the year was 90%. Three final reports issued after 5 day target (one after 7 days and two after 8 days)

Mae tudalen hwn yn fwriadol wag

<b>Adroddiad i'r:</b>	<b>Pwyllgor Llywodraethu Corfforaethol</b>
<b>Dyddiad y Cyfarfod:</b>	<b>20 Mai 2015</b>
<b>Aelod Arweiniol:</b>	<b>Julian Thompson-Hill, Aelod Arweiniol Cyllid ac Asedau</b>
<b>Awdur yr Adroddiad:</b>	<b>Ivan Butler, Pennaeth Archwilio Mewnol</b>
<b>Teitl:</b>	<b>Strategaeth Archwilio Mewnol 2015/16</b>

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

Mae'r adroddiad hwn yn darparu Cynllun Archwilio Mewnol 2015-16 i'r Pwyllgor. Mae'r Strategaeth yn darparu manylion y prosiectau Archwilio Mewnol arfaethedig ar gyfer y flwyddyn a fydd yn caniatáu i'r Pennaeth Archwilio Mewnol ddarparu 'barn' ar ba mor ddigonol ac effeithiol yw fframwaith lywodraethu, risg a rheolaeth y Cyngor yn ystod y flwyddyn.

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

Mae Safonau Archwilio Mewnol y Sector Cyhoeddus (PSIAS) yn ei gwneud yn ofynnol i'r 'prif weithredwr archwilio' ddatblygu cynllun archwilio mewnol sy'n ystyried y gofyniad i ddarparu barn ac adroddiad archwilio mewnol blynyddol y gall y sefydliad ei ddefnyddio i lywio ei ddatganiad llywodraethu. Mae cylch gorchwyl y Pwyllgor hwn yn ei gwneud yn ofynnol iddo ystyried strategaeth gynllunio archwilio mewnol.

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

Dylai'r Pwyllgor gymeradwyo Strategaeth Archwilio Mewnol 2015/16 (Atodiad 1)

## **4. Manylion yr Adroddiad**

Mae Strategaeth Archwilio Mewnol 2015-16 yn rhoi cefndir y gwasanaeth archwilio mewnol yn ogystal â'i gynllun gwaith arfaethedig ar gyfer y flwyddyn yn seiliedig ar asesiad risg ac ymgynghori gyda gwasanaethau a'r Tîm Gweithredol Corfforaethol.

Bydd y cynllun gwaith arfaethedig yn caniatáu i'r Pennaeth Archwilio Mewnol ddarparu 'barn' gyffredinol ar ei adroddiad blynyddol ar gyfer 2015-16. Bydd y Pwyllgor hwn yn derbyn adroddiadau gwybodaeth rheolaidd ar gynnydd wrth ddarparu'r Strategaeth.

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

Nid oes cyfraniad uniongyrchol at y Blaenoriaethau Corfforaethol, ond bydd rhai prosiectau yn y Cynllun yn adolygu meysydd Blaenoriaeth Corfforaethol a gallai helpu gyda'r gwaith o'u cyflawni.

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

Nid oes costau yn gysylltiedig â'r adroddiad hwn.

**7. Beth yw 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.**

Nid oes angen penderfyniad na chynnig ar gyfer newid mewn perthynas â'r adroddiad hwn, felly nid oes unrhyw effaith ar bobl sy'n rhannu nodweddion sydd wedi eu gwarchod.

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

Mae'r Pennaeth Archwilio Mewnol wedi cyfarfod â phob aelod o'r Tîm Gweithredol Corfforaethol a phenaethiaid gwasanaeth i drafod y gwaith Archwilio Mewnol arfaethedig.

**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?**

Gall methu â chyflwyno lefel ddigonol o archwilio mewnol olygu na all y Pennaeth Archwilio Mewnol roi 'barn' flynyddol ar ba mor ddigonol ac effeithiol yw fframwaith y Cyngor ar gyfer llywodraethu, risg a rheolaeth yn ystod y flwyddyn. Gallai hyn olygu y bydd problem lywodraethu sylweddol yn cael ei chodi yn 'natganiad llywodraethu blynyddol' y Cyngor ar ddiwedd y flwyddyn ariannol.

**11. Pŵer i wneud y Penderfyniad**

Nid oes angen gwneud penderfyniad ar gyfer yr adroddiad hwn, ond mae gofyniad dan Fesur Llywodraeth Leol (Cymru) 2011 i'r 'pwyllgor archwilio' adolygu ac asesu trefniadau rheoli risg, rheolaeth fewnol a threfniadau llywodraethu corfforaethol y Cyngor a goruchwyllo trefniadau archwilio mewnol y Cyngor.



# **Internal Audit Strategy 2015/16**

**Arrangements for delivering an  
effective internal audit service**

**March 2015**

## Contents

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## Background to the Service

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The Internal Audit Service is an independent and objective internal team that provides assurance and advice to all levels of management and elected members on the quality of operations within the Council. We particularly focus on governance, risk management, performance, efficiency and operational and financial control. We also provide internal audit services to North Wales Police (NWP) but this Strategy refers primarily to the service provided to Denbighshire County Council.

The service works to the Public Sector Internal Audit Standards (PSIAS) that include a Code of Ethics that the team must abide by. The objectives of the PSIAS are to:

- define the nature of internal auditing with the UK public sector;
- set basic principles for carrying out internal auditing in the UK public sector;
- establish a framework for providing internal audit services, which add value to the organisation, leading to improved organisational processes and operations; and
- establish the basis for the evaluation of internal audit performance and to drive improvement planning.

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### PSIAS definition of internal auditing...

Internal auditing is an independent, objective assurance and consulting activity designed to add value and improve an organisation's operations. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes.

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### Our main objectives are to...

...provide independent assurance and advice to management and elected members on risk management, governance and internal control;

...develop and promote our role to make a significant contribution to the Council's priority to modernise and deliver efficiencies and improve services for our customers; and

...add value in all areas of our work, providing excellent service to our customers.

Our team is very proactive and innovative, constantly aiming to improve and we have recently reorganised as part of the Council's efficiencies programme to focus our work more in key areas. Over recent years, we have developed a very successful customer-focused approach to audit planning, project scoping and service delivery, involving elected members, senior management

and operational staff that has made us a valued service within the Council, contributing to service improvement as well as providing assurance.

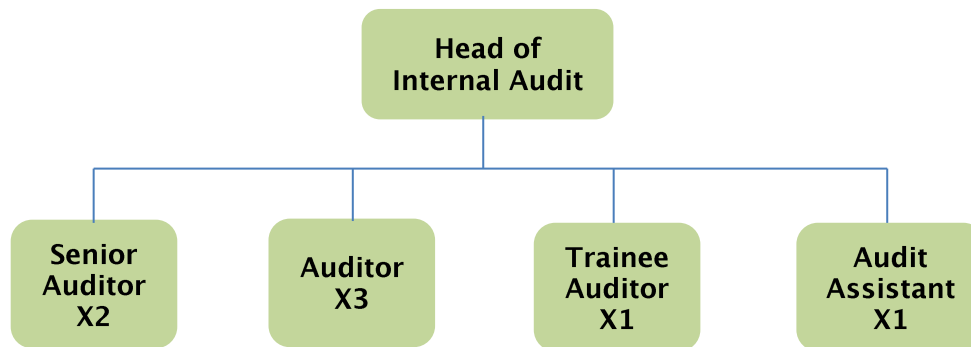
Our work provides a risk-based approach that allows the Head of Internal Audit (HIA) to form and evidence his opinion on the control environment to support the Council's annual review of its governance arrangements. Our Internal Audit Strategy therefore links closely to the Council's Governance Assurance Framework, taking account of other assurances that the Council may receive, internal or external, to prevent duplication and co-ordinate regulatory work. It also takes account of discussions with senior management to identify projects that will add value to them.

The HIA may also provide assurance to other organisations that work in partnership with DCC if the IA service has carried out work in that area of service, particularly if the other organisation is the lead partner.

## Service Structure

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The recent service restructure means that we have reduced the tiers within the service from five down to two, as it was considered top-heavy and hierarchical. The new structure will significantly reduce costs and improve efficiency and communication.



## Internal Audit Annual Plan 2015/16

Area of Work	Plan Days	Assurance				Comments
		S151	AGS	IA Annual	CET/SLT	
<b>DCC Corporate &amp; Service Assurance</b>						
Financial Systems	68	■	■	■	■	Annual review of accounts payable, payroll, treasury management, VAT, budgetary control etc.
Financial planning and performance	12	■	■	■	■	Review impact of efficiencies on performance
Revenues Services	35	■	■	■	■	Contingency for review of new arrangements (IA role to be agreed)
Housing Rents	20	■	■	■	■	Annual review of selection of areas within the service
WG 6th Form Funding/PLASC	30					Welsh Government requirement to ensure proper use of 6 <sup>th</sup> form funding
Council-Funded Service Providers / Partnership working	30		■	■	■	Framework for Council-funded service providers
Project Management	40	■	■	■	■	Review management of a sample of key projects
Procurement	40	■	■	■	■	Annual review. Scope to be agreed with new Head of Service
Corporate Governance - review of Constitution roles & responsibilities	15		■	■	■	Review progress with developing new Constitution & whether it meets requirements of governance framework
Corporate Governance - review of Part 2 Criteria	15		■	■	■	Review of criteria for Part 2 reports and the consistent implementation of the criteria.
High Corporate Risk Assurance	25	■	■	■	■	Management of the high inherent corporate risks from the Corporate Risk Register in place at the time of audit.
Corporate Safeguarding	10		■	■	■	Follow up of 2014/15 Internal Audit review

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Area of Work	Plan Days	Assurance				Comments
		S151	AGS	IA Annual	CET/SLT	
Cashiers / Income / Banking Controls	20	■	■	■	■	Review internal controls in a sample of cash handling sites and reconciliation procedures in place corporately.
IT Assurance Work	60		■	■	■	Contingency for projects to be agreed with Business Transformation & ICT Manager.
Sickness Absence Management	30		■	■	■	Review the new arrangements put in place during 2014/15 to manage sickness absence.
Ruthin Craft Centre	15	■		■	■	Review of expenditure, exhibitions, lettings, income collection, management processes etc.
Industrial Estates	25	■		■	■	Review of expenditure, lettings, income collection, management processes etc.
Paris Financials	20	■		■	■	Operational review requested by Director of Social Services - scope to be discussed and agreed.
Protection of Vulnerable Adults	20		■	■	■	Review of arrangements and operations to ensure the protection of vulnerable adults.
Direct Payments / Independent Supported Living	20	■		■	■	Operational review to ensure direct payments effectively managed, not abused, well-promoted etc.
Community Living	20	■		■	■	Top-down review to ensure processes & procedures are efficient & effective in dealing with clients' monies.
Highways Asset Management	20			■	■	Operational review requested by Head of Service - scope to be discussed and agreed.
Public Transport	20	■		■	■	Operational review of procurement, contracting, monitoring arrangements, compliance with government grant conditions.
Building Cleaning	20	■		■	■	Service under review and new management. Review of expenditure, operational efficiency, income charging etc.
Fleet Management	25	■		■	■	Operational review requested by Head of Service - scope to be discussed and agreed.
Parking Services	25	■		■	■	Review of income collection procedures, enforcement, value for money of partnership arrangements for DCC.
Community Enforcement	20	■		■	■	Operational review of arrangements with external enforcement agency for Head of Service assurance.

Area of Work	Plan Days	Assurance				
		S151	AGS	IA Annual	CET/SLT	Comments
Housing Enforcement	20			■	■	Review of HMOs, including new DCC policy implementation.
IT Management in Schools	25			■	■	Contracts, procurement, security, environmental controls etc.
HR Management in Schools	25			■	■	Appointments, leavers, strategic arrangements etc.
Information Management in Schools	25		■	■	■	DPA, FOI, EIR, security etc.
Leadership in Schools	20			■	■	Joint project to look at head teachers' management role, training etc. to be agreed with Head of Service.
Internal Audit Project Follow Ups	80	■	■	■	■	Contingency for following up IA report action plans
Special Investigations & Fraud Prevention	60	■	■	■	■	Contingency for management of and joint working with Corporate Fraud Officer.
Brought forward projects	30	■	■	■	■	Contingency to complete outstanding projects from 2014/15
<b>DCC Assurance Total</b>	<b>985</b>					
<b>Corporate Support work</b>						
Corporate Governance Framework & Annual Governance Statement	15					
Consultancy & Corporate Areas	50					Contingency for committee meetings, working groups etc.
<b>Corporate Support Total</b>	<b>65</b>					



Area of Work	Plan Days	Assurance				Comments
		S151	AGS	IA Annual	CET/SLT	
<b>External Services</b>						
Natural Resources Wales	60					Contingency for final two financial service reviews to complete contract and possible IT audits.
North Wales Police	200					Year two of three-year contract.
School Funds	25					Contingency for requests to audit school funds for fee.
<b>External Services Total</b>	<b>285</b>					
<b>Rechargeable Service Total</b>	<b>1335</b>					
<b>Overheads</b>						
IA Team Meetings, 1:1s, Appraisals etc.	50					
IA Management	60					
IA Training & Development	80					
<b>Overheads Total</b>	<b>190</b>					

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## Service Standards

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To measure how well we deliver our essential audit work and a customer-focused service, we use following performance measures:

Customer Service Standard	Target
We will contact you at least 2 weeks in advance to arrange a suitable date for our visit.	100%
We will discuss, agree & send you the Internal Audit Project Scoping Document before we commence work.	100%
At the conclusion of our work, we will hold a closing meeting with all relevant people to discuss the outcome of our work, and then send you a draft report within 10 working days of that meeting.	90%
Once we have agreed the draft report and any actions plan with you, we will send you the final audit report within 5 working days.	90%

<b>Adroddiad i'r:</b>	<b>Pwyllgor Llywodraethu Corfforaethol</b>
<b>Dyddiad y Cyfarfod:</b>	<b>20 Mai 2015</b>
<b>Aelod / Swyddog Arweiniol:</b>	<b>Barbara Smith - Aelod Arweiniol Moderneiddio a Pherfformiad Ivan Butler - Pennaeth Archwilio Mewnol</b>
<b>Awdur yr Adroddiad:</b>	<b>Ivan Butler - Pennaeth Archwilio Mewnol</b>
<b>Teitl:</b>	<b>Cynllun Gwella Llywodraethu a Datganiad Llywodraethu Blynyddol Drafft 2014/15</b>

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## 1. Am beth mae'r adroddiad yn sôn?

Mae'r adroddiad hwn yn rhoi'r wybodaeth ddiweddaraf am Gynllun Gwella Llywodraethu'r Cyngor sy'n deillio o 'datganiad llywodraethu blynyddol' y Cyngor 2013/14 – '*Darparu llywodraethu da a gwelliant parhaus*'. Dyma ymgynghoriad cyntaf gyda'r Pwyllgor ar yr adroddiad hunanasesu ar drefniadau llywodraethu a gwella'r Cyngor ar gyfer 2014/15.

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

Mae'r adroddiad yn rhoi gwybodaeth i'r Pwyllgor am y cynnydd sy'n digwydd o ran rhoi'r gwahanol gamau gweithredu sydd wedi'u cynnwys yng Nghynllun Gwella Llywodraethu'r llynedd ar waith, er mwyn sicrhau bod gan y Cyngor drefn llywodraethol gadarn ac effeithiol ar waith.

Mae hefyd yn rhoi'r cyfle i'r Pwyllgor roi sylwadau ar y drafft cyntaf o 'datganiad llywodraethu blynyddol' eleni.

## 3. Beth yw'r Argymhellion?

- Bod y Pwyllgor yn adolygu ac yn rhoi sylwadau ar y cynnydd ar Gynllun Gwella Llywodraethu llynedd (Atodiad 1)
- Bod y Pwyllgor yn adolygu ac yn rhoi sylwadau ar y 'datganiad llywodraethu blynyddol' drafft ar gyfer 2014/15 (Atodiad 2)

## 4. Manylion yr Adroddiad

Yn 2013/14, cafodd y 'datganiad llywodraethu blynyddol' traddodiadol ei ddisodli gyda '*Darparu llywodraethu da a gwelliant parhaus*'. Roedd y ddogfen hon yn darparu hunanasesiad eglur a chytbwys o drefniadau llywodraethu'r Cyngor, gan dynnu sylw at unrhyw wendidau llywodraethu arwyddocaol a meysydd eraill i'w gwella.

Roedd y meysydd gwella wedi eu cynnwys mewn Cynllun Gwella Llywodraethu, a oedd hefyd yn cynnig camau gweithredu i fynd i'r afael â gwendidau, y swyddogion sy'n gyfrifol am y camau gweithredu, ac amserlenni. Mae'r adroddiad hwn yn rhoi'r wybodaeth ddiweddaraf am y cynnydd gyda'r Cynllun Gwella Llywodraethu wedi'i gynnwys fel Atodiad 1.

Mae Atodiad 2 yn darparu'r drafft ymgynghori cyntaf ar adroddiad '*Darparu llywodraethu da a gwelliant parhaus*' 2014/15 a fydd yn cynnwys unrhyw feysydd o Gynllun Gwella Llywodraethu'r llynedd sy'n parhau i fod yn weddill. Dylai'r Pwyllgor nodi fod hwn yn ddrafft cynnar iawn sydd yn dal i fod yn waith ar y gweill, ac mae angen ei drafod ymhellach, yn enwedig gyda'r Uwch Dîm Arweinyddiaeth. Bydd y fersiwn derfynol y cytunwyd arni yn cael ei llofnodi gan y Prif Swyddog Gweithredol a'r Arweinydd erbyn 30 Mehefin 2015, ac yn cael ei chyflwyno i'r Pwyllgor hwn gyda'r Datganiad o Gyfrifon.

Mae'r ddogfen yn Atodiad 3 yn rhoi 'Cipolwg' ar gyfeiriad y daith ar gyfer meysydd sydd wedi newid ers 'datganiad llywodraethu blynyddol' y llynedd.

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

Er nad yw'r hunanasesiad 'datganiad llywodraethu blynyddol' yn cyfrannu'n uniongyrchol at Flaenoriaethau Corfforaethol, mae'n darparu asesiad a sicrwydd ar ddarpariaeth y Cynllun Corfforaethol, perfformiad gweithredol ac ariannol y Cyngor, trefniadau llywodraethu, ymgysylltu â'r gymuned ac ati sydd i gyd yn cael eu cyfeirio tuag at gyflawni'r Blaenoriaethau Corfforaethol.

## **6. Faint fydd hyn yn ei gostio a sut y 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 gwella; ond, bydd gwasanaethau eisoes yn ymwybodol o'r rhain a dylent fod yn eu cynnwys yn eu cynlluniau gwasanaeth.

## **7. Beth yw 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.**

Nid oes angen penderfyniad na chynnig ar gyfer newid mewn perthynas â'r adroddiad hwn, felly nid oes unrhyw effaith ar bobl sy'n rhannu nodweddiad sydd wedi eu gwarchod.

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

Mae hwn yn adroddiad er gwybodaeth yn unig. Yr unig ymgynghoriad a gafwyd hyd yn hyn yw gyda'r swyddogion sydd â chyfrifoldeb am weithredu'r camau gweithredu a nodwyd yn y Cynllun Gwella Llywodraethu a chyfrannu newidiadau at 'ddatganiad llywodraethu blynyddol' 2014/15.

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

Nid oes unrhyw oblygiadau ariannol ynghlwm wrth yr adroddiad hwn.

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

Pe na bai'r Cynllun Gwella Llywodraethu yn cael ei weithredu, byddai gwendidau yn aros yn nhrefn lywodraethol y Cyngor, a allai arwain at:

- adroddiadau rheoleiddiol niweidiol;
- defnydd gwael o arian cyhoeddus;
- methiant i wella meysydd corfforaethol a meysydd gwasanaeth allweddol;
- colli hyder budd-ddeiliaid; ac
- effaith andwyol ar enw da'r Cyngor.

**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

## Governance Improvement Action Plan – Progress Report March 2015

Improvement Area	Action	Responsibility	Original Timescale	Progress to Date
<b>Significant Governance Issues</b>				
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>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>	Initial review by Head of Internal Audit, which will lead to further action plan for implementation of new arrangements	Preliminary report by 31 May 2014, with further action plan for implementation of new arrangements to be agreed	<p><b>In progress – new target date 30/06/15</b></p> <p>'Phase 1' report to CET in July 2014 and Corporate Governance Committee in September 2014.</p> <p>CET commissioned Head of Internal Audit to lead 'phase 2', which is development of framework for DCC. Due to changes in Internal Audit, this work will now be carried out by 30 June 2015.</p>
<p>Our Internal Audit service 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</p>	<p>There is a separate action plan for dealing with the issues raised in the Internal Audit report.</p>	Head of Finance & Assets (service now under the Head of Communication, Marketing & Leisure)	As per action plan	<p><b>In progress – new target date May 2015</b></p> <p>Follow up of IA &amp; WAO Action Plans reported to Corporate Governance Committee on three occasions and is behind schedule. The Committee requested a further update in May 2015.</p>
	<p>The Council is fundamentally changing significant elements of its procurement. In May 2014, Cabinet approved the merger of Flintshire and Denbighshire procurement teams to create a larger more robust team. It also approved the move towards category management in conjunction with Flintshire and Gwynedd.</p>			<p>New team in place July 2014. Move to Category Management to take place up to 2016.</p>

Improvement Area	Action	Responsibility	Original Timescale	Progress to Date
<p>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>Tudalen 72</p>	<p>A training programme has begun with relevant finance staff attending first.</p>		<p>Training programme is underway.</p>	<p><b>In progress</b></p> <p>Training provided for finance staff and school finance managers. Members of staff undertaking procurement activities have been identified and contacted regarding a wide range of procurement training courses being held between February and May 2015.</p>
	<p>The Procurement Strategy is being re-drafted to better link with the Economic Development Strategy. Contract Procedure Rules are overdue but are currently with Legal Services for review.</p>		<p>Strategy due by August 14, as are CPRs</p>	<p><b>In progress - new target date March 2015</b></p> <p>A draft strategy has been developed and issued to services for consultation. The agreed draft will be presented to Corporate Governance Committee in March 2015 for consideration. In the meantime, the Council continues to use the current strategy.</p>
	<p>The E-Sourcing project is due for implementation over the summer, along with Centralised Invoice Registration and improvements to Proactis for purchase order numbers.</p>		<p>Centralised Invoice Registration going live from July 2014.</p>	<p><b>In progress - new target date 31/03/15</b></p> <p>Due to delays, roll-out will now be by 31 March 2015. Highways has expressed an interest in being a pilot to undergo training on the system as a 'first adopter'. This will be followed by Social Care.</p>



Improvement Area	Action	Responsibility	Original Timescale	Progress to Date
<b>Partnership Governance</b>				
<p>We are aware that not all partnerships use the partnership toolkit, so, as part of a comprehensive review of the partnership landscape, we 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>	<p>Practice-based review of governance toolkit</p>	<p>Head of Business Improvement &amp; Modernisation</p>	<p>October 2014</p>	<p><b>In progress – new target date 30/06/15</b></p> <p>The review of the toolkit will form part of the Head of Internal Audit’s review of third party and arms-length organisations.</p>
<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>	<p>Practice-based review of governance Toolkit</p>	<p>Head of Business Improvement &amp; Modernisation</p>	<p>October 2014</p>	<p><b>In progress – new target date 30/06/15</b></p> <p>The review of the toolkit will form part of the Head of Internal Audit’s review of third party and arms-length organisations.</p>

Improvement Area	Action	Responsibility	Original Timescale	Progress to Date
<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>	<p>Head of Legal, HR &amp; Democratic Services</p>	<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>	<p><b>In progress</b></p> <p>Head of Legal, HR &amp; Democratic Services to provide a progress report to Corporate Governance Committee on 25 March 2015.</p>
<p>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.</p>	<p>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.</p>	<p>Head of Legal, HR &amp; Democratic Services</p>	<p>Refresher sessions for elected members will be provided before March 2015. An awareness training strategy for employees will be implemented by March 2015</p>	<p><b>In progress</b></p> <p>Code of Conduct refresher training was provided to elected members on 3 February 2015. The awareness raising strategy for employees has not yet been progressed.</p>

Improvement Area	Action	Responsibility	Original Timescale	Progress to Date
<b>Equalities</b>				
<p>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.</p>	<p>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.</p>	<p>Head of Business Improvement &amp; Modernisation</p>	<p>Autumn 2014</p>	<p><b>In progress</b></p> <p>CEG considered the E-learning module in October 2014. It should be rolled out corporately. In response to the Internal Audit report, CEG anticipates that the e-learning will increase awareness of equalities issues across the Council. SLT will provide details of members of staff who are required to complete the e-learning - particularly those members of staff who are deemed as front facing or likely to directly interact with people from/with protected characteristics</p>
<p>Quality Impact Assessments are now mainstreamed into our decision-making process, but we will need to improve the quality of some of these assessments and will be introducing a quality assurance process during 2014.</p>	<p>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.</p>	<p>Head of Internal Audit</p>	<p>Commencing September 2014</p>	<p><b>In progress</b></p> <p>This issue was debated at the Corporate Equalities Group. Alternative quality control ideas are being considered. Performance Scrutiny Committee has been asked to incorporate QA of the equality impact assessments as part of its standing agenda. This is to be confirmed.</p>
<b>Policy Framework</b>				
<p>We have an anti-fraud and corruption policy, although we have not reviewed and updated this since 2006.</p>	<p>This policy has been reviewed and a new draft policy will be presented to Corporate Governance Committee.</p>	<p>Head of Legal &amp; Democratic Services</p>	<p>November 2014</p>	<p><b>In progress</b></p> <p>The draft amended policy was considered by Corporate Governance Committee on 5 November 2014 but is still to be finalised.</p>

Improvement Area	Action	Responsibility	Original Timescale	Progress to Date
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	November 2014	We have no plans to update the current policy. No further action is planned.
<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	<b>In progress</b> Self-assessment completed and an improvement plan developed. This will be included in the Internal Audit Annual Report 2014/15 and reported to Corporate Governance Committee for monitoring.

Improvement Area	Action	Responsibility	Original Timescale	Progress to Date
<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>	<p><b>In progress</b></p> <p>Corporate Information Manager to provide a separate progress report to Corporate Governance Committee on 25 March 2015.</p>
<b>Elected Members</b>				
<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>	<p><b>Complete</b></p> <p>Item for discussion at Corporate Governance Committee in September 2014.</p>

Improvement Area	Action	Responsibility	Original Timescale	Progress to Date
<b>Stakeholder Engagement</b>				
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.	We will continue to publish user-friendly performance information on the Council's website.	Head of Business Improvement & Modernisation	On-going	No further action is planned
	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.	Various	Various timescales but Strategy to be implemented fully by 31 March 2015	<b>Complete</b> Part of Internal Audit review 2014/15 - no issues raised

Improvement Area	Action	Responsibility	Original Timescale	Progress to Date
<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>Leader and Corporate Director for Economic and Community Ambition to undertake annual visits to Business Groups and to the Top 10 businesses in the county to ensure that we are doing all we can to support local businesses and facilitate easy and accessible contact with senior decision makers within the Council.</p>	<p>Leader &amp; Corporate Director for Community Ambition</p>	<p>Annual</p>	<p><b>Outstanding</b></p> <p>Visits to top 10 businesses have not progressed yet. Priority has been given to supporting the Freedoms and Flexibilities process and reviewing the Economic &amp; Business Development (EBD) team.</p> <p>The review of the EBD team includes creating three roles to allow specific focus on business engagement - one generic role to support business networking and advice signposting, and two lead officer roles focusing respectively on high growth and lower growth potential key businesses.</p> <p>The Economic &amp; Community Ambition Board has requested this to be a priority for 2015, with a plan to be presented to the Board in March 2015. The Board has suggested one business visit per month.</p> <p>One visit was carried out in January 2015, which proved to be very useful, allowing facilitation of contact with relevant council services to allow the business to discuss its plans for growth.</p> <p>The Council also received feedback from a study undertaken by a research fellow on its behalf in which he spoke with eight key businesses, which the Council will now be able to follow up.</p>

Improvement Area	Action	Responsibility	Original Timescale	Progress to Date
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Tudaleir GO</p>	<p>A project to ensure that we are recognised as business-friendly. This will improve our engagement, both on a one to one business basis and also on a collective basis.</p>	<p>Public Protection Manager</p>	<p>Project timescales within Economic &amp; Community Ambition Strategy</p>	<p><b>In progress</b></p> <p>This action now forms a project (Better Business For All) within the Economic &amp; Community Ambition Strategy and is monitored as a project on Verto and by the Economic Ambition Board.</p> <p>It will therefore no longer be reported as part of the action plan to avoid duplication.</p>
	<p>Annual survey of businesses. The results of the first survey are currently being collated and will inform how we work with businesses in future.</p>	<p>Economic &amp; Business Development Manager</p>	<p>Annually in June</p>	<p><b>Complete</b></p> <p>Survey complete and results being analysed for reporting to and discussion at the Economic Ambition Programme Board.</p>
<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>	<p><b>Complete</b></p> <p>Review completed and reported to Corporate Governance Committee in September 2014.</p>





# **Delivering good governance and continuous improvement**

## **Assessment of the Council's governance and improvement arrangements for 2014-15**

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# Introduction

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## Why do we need an annual assessment of our governance arrangements?

Denbighshire County Council is responsible for ensuring that it has robust governance arrangements in place so that it does the right things, in the right way, for the right people, at the right time, in an inclusive, open, honest and accountable way. Good governance is essential to both the Council and the public. It supports the Council in making the right decisions, reduces the likelihood of things going wrong and protects it when problems do occur. It inspires confidence in the public that we are taking decisions for the right reasons, protecting service quality and spending public money wisely.

This document explains and assesses our governance arrangements for 2014-15 and identifies any improvements needed to make the arrangements more robust.

## Self-assessment of our arrangements

Within our annual governance review, we are required to carry out a self-assessment of our arrangements. In the past we have also carried out a corporate self-assessment showing how we achieve continuous improvement, but we now combine these self-assessments in an approach to avoid duplication, as managing and monitoring of performance and improvement is also an important element of good governance. This innovative self-assessment helps us to understand our strengths and weaknesses in relation to the six key principles of good governance that we use in our governance framework:

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### Focusing on our purpose and on the outcomes for citizens and service users

**Performing effectively in clearly defined functions and roles**

**Promoting values for the whole organisation and demonstrating good governance through our behaviour**

**Taking informed and transparent decisions and managing risk**

**Developing our capacity and capability to be effective**

**Engaging with local people and other stakeholders to ensure robust public accountability**

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## Summary of our governance arrangements

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### Review of effectiveness

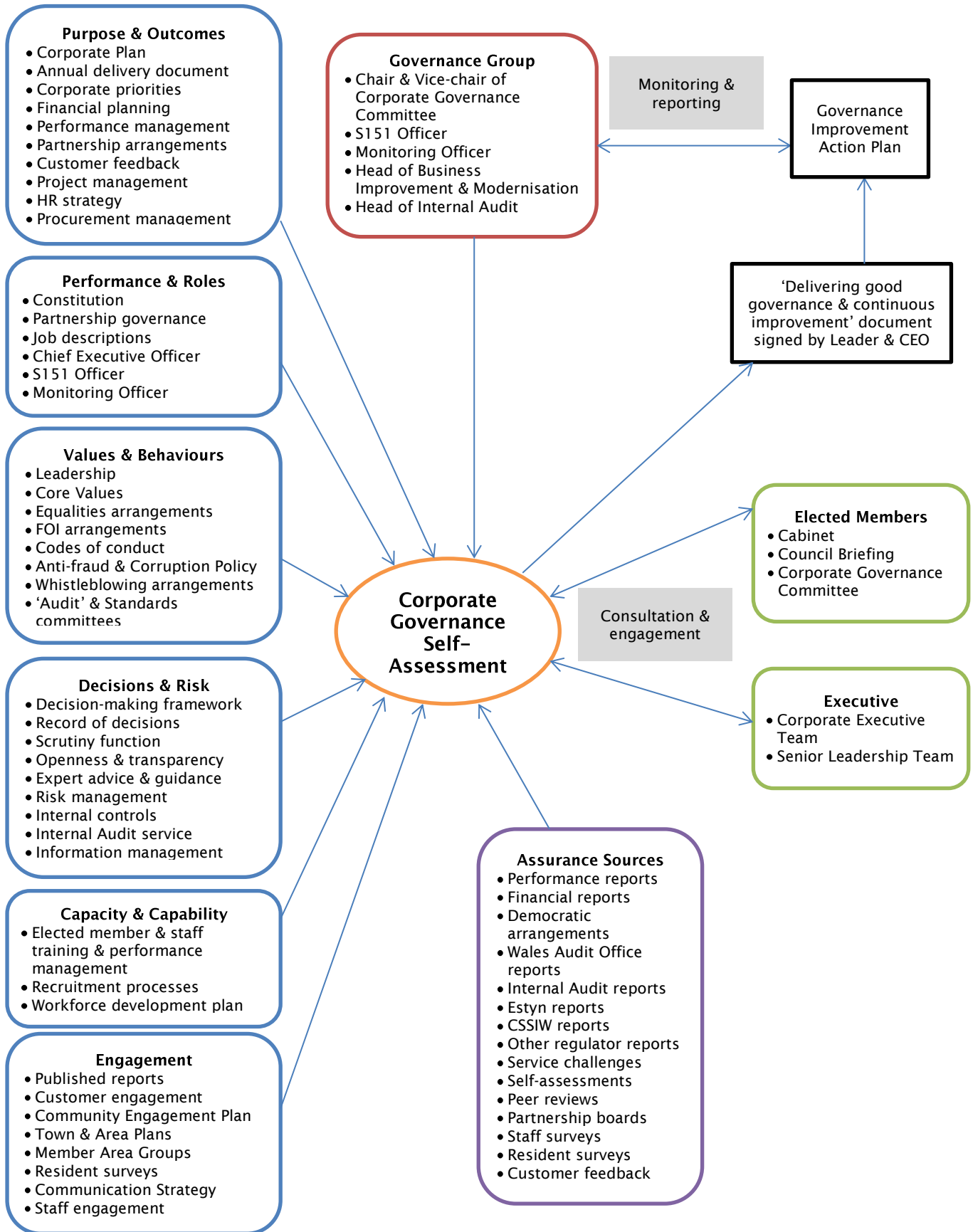
We are required to review the effectiveness of our governance arrangements each year, which includes:

- maintaining an on-going evidence framework showing how we can give assurance on our governance arrangements;
- regularly reviewing the effectiveness of the Council's Constitution;
- reviewing governance arrangements within services delivered on our behalf by partnerships, arms-length organisations etc.;
- having a 'virtual' Governance Group comprising the Chair and Vice-chair of the Corporate Governance Committee, Head of Finance & Assets (S151 Officer), Head of Legal, HR & Democratic Services (Monitoring Officer), Head of Business Improvement & Modernisation, and Head of Internal Audit to monitor governance arrangements, develop our self-assessment and any action plans arising from it;
- consulting widely on our self-assessment with senior management and elected members;
- providing training for elected members to ensure that they fully understand their roles and responsibilities relating to corporate governance; and
- using information from various sources to inform our governance arrangements, for example, service challenges, performance reports, risk management, external regulator reports, the Head of Internal Audit's Annual Report.

**In summary, our self-assessment provides evidence and assurance that the Council has robust governance arrangements in place. Where we have identified areas for improvement, we have an action plan to address them (Appendix 1).**

**We will monitor and report progress on the action plan to the Corporate Governance Committee on a regular basis.**

## Summary of our governance framework



## Focusing on our purpose and on the outcomes for citizens and service users

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### ...we are clear about what we are trying to achieve

Our Corporate Plan 2012-17 clearly shows what we are aiming to achieve and sets out our priorities for the five year period. Each year we develop a Corporate Plan Delivery Document to show what we expect to do in the forthcoming year to support the delivery of our priorities and how we will go about it. The Wales Audit Office Annual Improvement Reports conclude that we are making good progress in delivering our improvement programme, that our corporate performance management arrangements support reliable self-evaluation and that our arrangements to support improvement are good. **(Paragraph to be updated once latest WAO report received)**

We have clearly stated how our corporate priorities link to our medium-term financial plan and have identified financial and staffing resources to support the delivery of our objectives. We sought residents' views on the cuts that we are considering, to engage them more on how these cuts will impact on them and their communities and what can be done to lessen the impact. We recognise that the scale of cuts that we need to make will not be evenly spread across our services, mainly because some services, like schools, must be protected, while other areas are high priority and high risk, such as social services. Others are important statutory functions that we must continue to do, like planning, payroll, financial management and regular performance reporting to Welsh Government and regulators.

While the scale of these cuts will inevitably mean that we have to do 'less with less' we will still continue to provide vital universal services. The difficult budget decisions that we are now having to make are not only about balancing the books for the next two years, but they will also shape local services that will be provided in the future. We are a high performing Council and this will not change, even after these cuts are implemented.

As part of reviewing the way we work, we are reviewing our governance arrangements to ensure that public money is spent wisely and that the public continues to receive good services and value for money. We will be implementing new monitoring arrangements during 2015 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.

We have also reviewed the way we deliver services through our Town and Area Plans during the year to improve clarity around the overarching policy intentions of the Plans and to improve the consistency in how they are developed and delivered. Improvements will also ensure that Plans are more strategic, provide clearer information on anticipated benefits and how impacts will be measured. Cabinet has

endorsed the preparation of revised lists of priority projects and a new process for allocating funding to these projects.

We have a comprehensive partnership governance toolkit that provides guidance to ensure that, for each partnership, there should be a clear statement of the partnership principles, objectives and proposed outcomes. It also includes guidance on measurement of service quality so that customers receive good service, however we deliver our services. We are aware that not all partnerships use the toolkit, so we need to review the guidance to ensure that it is user-friendly and effective. This is a follow-up piece of work from our Partnership Landscape review, which began under the auspices of the Denbighshire Strategic Partnership Board. This review has informed local and national policy by highlighting the complexity of partnership activity in Denbighshire and beyond.

### **...we make sure that service users receive a high-quality service and value for money**

We monitor our performance regularly, take half-yearly reports to Scrutiny and Cabinet meetings and produce an Annual Performance Report to evaluate progress. We are planning to increase reporting to Scrutiny and Cabinet to quarterly to maintain a focus on performance during a period of service reduction.

Denbighshire has maintained its position as the best performing council in Wales for a fourth year according to the Welsh Government's National Strategic Indicators:

- Of the 30 National Strategic Indicators, 16 were in the top quartile
- Above the median, our position has slipped slightly, now ranking second in Wales
- We have seen improvement in 19 indicators
- We performed among the best in Wales in 6 indicators

The Service Performance Challenge uses a variety of reports and a service self-assessment to review performance against the service plan, benchmarking information and a 'need and demand' report, which highlights possible future pressures and changes in the external environment to which the service may need to respond. This process has been highlighted as good practice through the Care and Social Services Inspectorate Wales (CSSIW) recent annual report.

*"Within the council there is keen interest and support from elected members. They play a key role in the exemplary 'service challenge' meetings where they question lead officers about the performance and impact of the council's services."*

The Wales Audit Office provided an unqualified audit report on our financial statements for 2013-14, raising no significant issues or material weaknesses in our internal controls. Our Internal Audit service reviews our key financial systems annually and provided positive reports during the year. However, in 2013/14,

Internal Audit produced a critical report on the procurement of construction services that highlighted several weaknesses, including that our procurement strategy was out of date. During 2014/15, Internal Audit has continued to monitor progress on the report's improvement action plan and report it to Corporate Governance Committee. These reviews show that progress with improvement has been slow and several deadlines missed, so procurement remains a significant governance issue later in this document.

The programme and project management methodologies, and the Verto system are working well across the Council, with some real deliverables now being realised. Overall, visibility of our activities is improved through effective and consistent reporting on our projects to Corporate Executive Team (CET) and various committees.

The Verto system has now been developed and extended to incorporate the Council's performance management processes. Forthcoming service business plans are currently being developed using the system. Through the flexibility of the system, we are able to integrate our service business plans with programme and project activities, thus being able to report using key dependencies, such as progress against outcomes or priorities.



## Performing effectively in clearly defined functions & roles

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### ...we are clear about the roles and responsibilities in our organisation

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;
- includes a formal scheme of delegation and reserve powers for decision-making; and
- includes the process for holding County Council and Cabinet to account for their decisions and performance.

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, and we will need to promote its use across all partnerships in Denbighshire.

### ...we make sure that we carry out these roles and responsibilities

Our Constitution includes a protocol to ensure that elected members and employees understand each other's roles and that they work effectively together. We have also clearly identified the roles and responsibilities of key officers in the Council:

- Our CEO is responsible and accountable to the organisation for all aspects of operational management.
- Our S151 Officer is responsible for ensuring that appropriate advice is given to the organisation on all financial matters, keeping proper financial records and accounts, and maintaining an effective system of internal financial control.
- Our Monitoring Officer is responsible for ensuring that the organisation follows agreed procedures and complies with all applicable statutes and regulations.

## Promoting values for the whole organisation and demonstrating good governance through our behaviour

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### ...we ensure that our organisational values are put into practice and are effective

We have a set of core values - **Pride, Unity, Respect and Integrity** – that are well-embedded in the organisation and are clearly reflected in our Constitution, Partnership Governance Framework, Financial Regulations, Contract Procedure Rules and employee appraisal process.

Our leadership sets the tone for the organisation by creating a culture of openness, support and respect. We are currently carrying out our latest staff survey, but the previous survey in 2013 reported that 83% of employees felt that the leadership team had a clear vision for the future, compared to only 58% in the 2011 survey. There was also a high level of confidence (84%) in the leadership team. This same level of improved confidence was reflected at service level, with 81% believing that their service had a clear vision for the future and having confidence in their manager.

We continue to develop and enhance our work on equalities and human rights, although the decision to delete the post of Corporate Equality Officer will require services to become more accountable for their work with people with protected characteristics. We continue to work with the North Wales Public Sector Equalities Network, with whom we have a joint Strategic Equality Plan. In addition, we have developed and produced a new e-learning module, which is in the process of being implemented across key customer-facing services.

**Internal Audit's staff survey found that there is still work to do to improve awareness of corporate equalities arrangements. (Paragraph to be updated once latest survey completed).**

### ...we provide leadership by behaving in ways that exemplify high standards of conduct and effective governance

We have various ways in which we demonstrate our core values and high standards of conduct and effective governance, for example:

- we have clear and transparent Freedom of Information arrangements to allow access to information;
- 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;

- we have a register of financial interests and hospitality for elected members and employees to ensure transparency;
- we have a process for elected members to declare interests generally and in relation to specific issues and/or reports at meetings;
- we have a protocol to ensure that elected members and employees treat each other with respect and behave professionally;
- our customer feedback and complaints framework allows the opportunity for customers to comment on the behaviour of elected members and employees;
- we have an anti-fraud and corruption policy dated 2006, but we are in the process of reviewing and updating it;
- we have revised our whistleblowing procedures that enable issues to be raised freely with a wide range of people or bodies. The new model constitution has included in it a new whistleblowing policy. The draft, which had previously been consulted upon with unions, will be checked against this and redrafted where necessary for further consultation;
- our financial management arrangements conform with the governance requirements of the CIPFA Statement on the Role of the Chief Financial Officer in Local Government (2010);
- our Corporate Governance Committee carried out a self-assessment in 2013/14 that confirmed that its terms of reference conform with the Local Government (Wales) Measure 2011;
- following the above self-assessment, the Head of Internal Audit provided training to elected members on their governance responsibilities;
- the Head of Internal Audit's annual report confirmed that we operate an effective system of internal control, governance and risk management; and
- we operate an effective and impartial Standards Committee to uphold good behaviour by elected members.

## Taking informed and transparent decisions and managing risk

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### ...we are rigorous and transparent about how we make decisions

We have a clear decision-making framework to show who can make what decisions and we keep a comprehensive and published record of decisions made. All key decisions include an assessment of financial implications, contribution to corporate priorities, risks and equality impacts, although we are aware that we need to carry out some quality control reviews on equality impact assessments to ensure that they are robust.

We advertise our 'public' meetings in advance so that they are open for public and media attendance, and all of our reports are discussed openly unless they meet strict criteria for confidential discussion.

Our scrutiny function is effective, supported by evidence and data analysis, to challenge decision-makers constructively.

### ...we use good quality information, advice and support

Elected members are provided with clear, concise but comprehensive reports and advice for decision-making that clearly explain the implications of the decision. Reports should not exceed four pages and we use a corporate report template to ensure that all information is included, together with a checklist that has to be completed in all cases to confirm that all information is included in the report before submission.

We have arrangements in place to provide and record proper professional advice on matters that have legal or financial implications well in advance of decision making and at meetings. External advice is obtained where required, particularly in specialist areas.

The Research and Intelligence Team and the Corporate Programme Office have been combined following a service restructure. This new team, in addition to business as usual activities, will focus on key change activities and will begin to develop a strategic platform for management information and reporting, enhancing decision making processes.

### ...we have effective risk management, information management and control systems

We review our Corporate Risk Register formally twice a year, with each Corporate Director considering the risks that they currently manage, reviewing mitigating actions and the external environment to assess the risk score and adding new risks as appropriate. This includes identifying changes in legislation affecting Council

services, such as the new Social Services and Well-being (Wales) Act 2014 and the Well-being of Future Generations Bill. The Corporate Governance Committee monitors risk management arrangements and reviews the Corporate Risk Register.

We have an independent and objective internal audit service providing assurance across the whole range of the Council's services, including partnerships. The Head of Internal Audit's annual report confirmed that we operate a robust system of financial and operational internal controls. During the year, the Head of Internal Audit carried out the required self-assessment review to ensure that the service complies with the new Public Sector Internal Audit Standards. The resulting improvement plan will be reported to Corporate Governance Committee as part of the Annual Internal Audit Report 2014/15 and monitored by the Committee.

We discuss any reports of external regulators at the relevant management and elected member levels and monitor action plans arising from their reviews.

Information management has historically been seen as a significant governance weakness in our Annual Governance Statements following adverse internal and external audit reports. A Corporate Information Team was formed during 2013 to address these weaknesses. Since this time, significant improvements have been made, which has recently resulted in the risk being reduced from amber (major) to yellow (moderate).

Some of the main actions addressed include:

- appointing a Corporate Information Manager to provide strategic leadership in this area;
- providing a corporate approach to information management via the launch of an Information Management Strategy;
- developing a corporate approach to managing information risk through the development and launch of an Information Risk Policy;
- improving competency levels in the Council through the development and launch of a suite of e-learning modules, including Data Protection, Freedom of Information and Document Management;
- achieving Public Sector Network (PSN) accreditation;
- developing a consistent way of handling information security breaches via the development of a policy;
- introducing secure email facilities via Egress;
- appointing an Access to Information Officer to handle the increasing volume of information requests; and
- improving the management of our electronic documents through the implementation of EDRMS (electronic document records management system).

, for example:

- improve arrangements for securely destroying our confidential waste;
- refresh the information security policy framework;
- embed EDRMS into paper-heavy teams by March 2016 (end of project);
- widen access to the county's archive materials via the development of an improved online presence;
- develop an Information Asset Register;
- publish more information to our website to meet our statutory obligations and reduce numbers of information requests; and
- raise further awareness and embed information retention rules into services.

The Council's Information Risk Policy includes a requirement to include specific information in the 'annual governance statement' and to share and discuss this with the Corporate Governance Committee. In May 2014, the Council's Senior Information Risk Officer (SIRO) reported the following to the Corporate Governance Committee for 2013/14:

- There has been no major breach of the Data Protection Act by the Council during the year.
- The SIRO reported two information risk incidents to the Information Commissioner during the year.
- These incidents affected two individuals and the Council took immediate action to address the issues and improve processes. **(This paragraph will be updated with information from the latest SIRO report)**

## Developing our capacity and capability to be effective

**...we make sure that our elected members and employees have the required resources, skills, knowledge and experience they need to perform well**

We have elected member and employee induction programmes to ensure that key information is imparted at an early stage, have rolled out induction and refresher training to services and carried out an 'audit' of recently recruited members of staff to ensure that it is being carried out. It is a much improved process and significantly more inductions are being carried out.

There is a current process in place for appraising the performance of Cabinet members, which has been strengthened by aligning their priorities to the Corporate Plan, which is in response to the CEO's paper on 'Sharpening our Act'.

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. During the year, the Committee's chair produced a report that will be presented to Council in line with the Scrutiny annual reports.

Employees receive annual performance appraisals, resulting in training and development plans to help them achieve their objectives and fulfil their roles effectively. **We improved performance in 2013/14, with 89% of eligible employees receiving an annual appraisal. To date for 2014/15, 87% have been completed. (this will be updated before the final version)**

We are trying to modernise the way we work so we can use valuable time and resources better. The Modernisation Board has initiated several projects that create service delivery efficiencies and we have developed a Flexible Working Policy Statement and guidance that sets out how we expect employees to work in the future and also what support we can provide. To improve our efficiency and mobility, we have:

- rolled out new IT equipment;
- upgraded the Local Area Network and Wi-fi to support flexible working;
- continued to review our office accommodation requirements;
- agreed a hot-desk policy;
- continued to roll out EDRMS to more services;
- implemented Central Invoice Registration, which will reduce the number of invoices not paid on time and avoid late payment fines; and
- developed a Customer Service Strategy to show how we will deliver excellent customer service.

## ...we ensure that we can continue to perform effectively during periods of change

Strategic HR Business Partners undertake a workforce planning exercise with each service annually to identify their priorities for the coming 12 months. This year this has included the Freedom and Flexibilities review. This enables HR to understand and prioritise the level and timing of support that services may require. The discussions with services cover service aims and priorities, workforce profile, upcoming challenges and risks, resource and skills gaps and critical posts. This allows HR to develop a Workforce Priority Plan, agreed with the Senior Leadership Team. In addition, the data collected from performance appraisals enables us to identify corporate people development priorities for the coming 12 months.

To help develop potential senior managers of the future, we use Middle Managers conferences to engage them. 'Yr Hwb' cohort for 2014 has now come to an end, and members of the team were involved in a range of key projects, including the Electronic Mailroom Business Case development, the Financial Inclusion Project E-Learning module, Modernisation Programme stakeholder and communication events and also work on Economic and Community Ambition Programme stakeholder events. Directors and Heads of Service provided mentorship for each of the Hwb members.

More of our projects are being delivered from within services, benefitting as a result of the extensive project management training that has been undertaken over the past two years. This has resulted in a reduction of our Corporate Project Management resource, contributing to our resilience to change and our efficiencies.

Our Volunteering Strategy offers a useful starting point for developing a corporate vision for volunteering. We will continue to develop this Strategy through the delivery of the Wellbeing Plan to take into account developments across the county in areas such as time-banking pilots, partnership working, and developing initiatives to support employees to volunteer their time and expertise to benefit their communities.



## Engaging with local people and other stakeholders to ensure robust public accountability

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### ...we take an active and planned approach to dialogue with and accountability to our external regulators

We take a proactive approach to external regulation, for example:

- regular meetings to discuss developments, their work and outcomes;
- involving and consulting them on key decisions that may affect our governance arrangements;
- acting on any improvements that they identify in their reports; and
- presenting their reports to the relevant committees to keep elected members informed.

### ...we engage effectively with the public and other stakeholders

We publish our Annual Statement of Accounts, including this self-assessment of our governance and improvement, on our website and it is open for public inspection and challenge for the designated period. We also publish our Annual Performance Report so that the public can see how well we are performing in the delivery of our Corporate Plan.

Our customer feedback and complaints framework provides the opportunity for customers to comment on our services. We listen to these views when deciding on service planning and improvement.

We have improved our community engagement during the year and are committed to undertaking further initiatives in 2015, for example:

- our Corporate Community Engagement Strategy and Toolkit is on our website and intranet and is a useful resource for all services. The Strategy will become embedded in the engagement philosophy of all services so that minimum standards are adopted. We anticipate that the Strategy and Toolkit will be revised in spring 2015 to ensure that it continues to be 'fit for purpose' and encompasses recent trends in engagement opportunities;
- also being produced in 2015 is Denbighshire's Children and Young People's Participation Strategy, which is a specific guide for all services and partner organisations. The Strategy is a platform to ensure that we involve children and young people in decisions, planning and reviewing the services that might affect them directly (e.g. school policies, youth service provision, public transport, children & family's social services etc.) or indirectly (e.g. highways, housing, waste management etc.);
- undertaking further work to manage our on-line consultation policies and use of on-line survey tools such as 'Survey Monkey';

- ensuring that the ‘National Principles of Public Engagement’ and the ‘Children and Young People’s Participation Standards’ are embedded in the delivery of services
- continuing our close liaison with the 37 city, town & community councils within the county through ‘cluster’ meetings and an annual liaison meeting attended by our Chief Executive, Council Leader and Council Chairman. We will be reviewing our Charter with all councils in 2015;
- we are further developing our engagement with residents and businesses through the use of social media;
- our Armed Forces Covenant Partnership brings together all key agencies involved in ensuring that we meet our commitment to the Armed Forces Covenant, and we have organised a welfare / drop-in session for armed forces personnel and veterans;
- following the devastating floods in the east ward of Rhyl in December 2013, we held several flood ‘drop-in’ sessions with affected residents during 2014 and produced regular welfare and coast protection newsletters;
- we carried out a resident survey in 2013, with over 2000 residents taking part and we reported on this in our last Annual Performance Report. A similar survey will take place in 2015; and
- for many years, volunteers have provided added value and complemented the work of paid staff to enable the Council to deliver better and more effective services. In turn, volunteers also gain positive satisfaction from helping others and gaining new skills and making a contribution to the life of their community.

An extensive engagement and consultation debate took place in 2014 to discuss the Council’s budget proposals in light of the significant savings the Council was expecting to make. The ‘Cutting our Cloth’ budget debate was promoted through press releases and briefings, social media, and promotion in key buildings. This provided the opportunity for residents to submit their contributions in different ways and we received over 822 survey responses

In addition to the budget debate, services carry out individual engagement and consultation, usually on a specific issue, for example on our review of schools provision, and Adult Social Services conducted a Feedback Fortnight on its services. Responses received influence current and future delivery of services.

In delivering Denbighshire’s Single Integrated Plan (Supporting Independence & Resilience: Denbighshire’s Wellbeing Plan 2014-2018) we extensively engaged with the community to establish our vision and priority areas. The Plan places the community at the heart of its philosophy and focuses on having a positive impact for the people of Denbighshire.

The Council is the lead partner in delivering an Engagement Strategy and Action Plan on behalf of the Local Services Board (LSB). A working group, chaired by the

Council has delivered work packages as part of the Strategy's action plan, including the development of a dedicated LSB website and logo

We have completed and initiated several actions that have either changed or will change our engagement with businesses:

- Businesses endorsed the final Economic and Community Ambition Strategy, which set us the challenge of delivering it, including a Consultation Programme. We received positive feedback from the business community to a county wide 'Open for Business' event at the Royal International Pavilion in Llangollen. Businesses and their representatives continue to provide positive feedback and are now engaged in the design and governance of our 'Better Business for All' project.
- Our Contract Procedure Rules now include community benefit clauses that promote the use of local business/labour/goods and supplies in all contracts. These are mandatory for all projects over £2m. We continue to engage with suppliers through a programme of events organised by Business Wales but our new approach to supplier development is currently on hold while the Strategic Procurement Unit reviews its business plan. However, we are actively engaged with the Third Sector to ensure that they have the opportunity to tender.
- Denbighshire's first Annual Business Survey was run during 2014, with 502 businesses taking part through a mixture of face to face, online and telephone engagement. The survey reached many well established small businesses in particular. The survey provided valuable insight into business confidence and satisfaction with a range of business support services offered by the Council and partners. It also provided details of business structure, use of digital media and demand for superfast broadband, as well as demand for a range of support the Council could offer in future. The survey will be an annual event, with the new survey being launched in March 2015. Similarly our Public Protection Team is actively engaging with local businesses as part of its 'Business Friendly Programme'.

We need to ensure that effective opportunities exist for businesses to provide feedback to the Council. 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. What is pleasing to see is that the 16 high Priority Projects in the Economic and Community Ambition Programme all offer potential for businesses to become engaged at the appropriate time, and that some of them are already actively doing this.

The Leader and Corporate Director for Economic and Community Ambition had planned to undertake annual visits to Business Groups and to the Top 10 businesses in the county to ensure that we are doing all we can to support local businesses and facilitate easy and accessible contact with senior decision makers within the Council. These visits have not progressed yet as we have given priority

to supporting the Freedoms and Flexibilities budget efficiency process and reviewing the Economic & Business Development (EBD) team. The review of the EBD team includes creating three roles to allow specific focus on business engagement - one generic role to support business networking and advice signposting, and two lead officer roles focusing respectively on high growth and lower growth potential key businesses.

The Economic & Community Ambition Board has requested this to be a priority for 2015, with a plan to be presented to the Board in March 2015. The Board has suggested one business visit per month. One visit was carried out in January 2015, which proved to be very useful, allowing facilitation of contact with relevant Council services to allow the business to discuss its plans for growth. The Council also received feedback from a study undertaken by a research fellow on its behalf in which he spoke with eight key businesses, which the Council will now be able to follow up.

### **...we take an active and planned approach to responsibility to our staff**

We have several tools (policies, procedures, workforce planning; 1:1s.) to help manage our staffing resources effectively, consistently and fairly. Our Strategic HR service has completed a major programme to improve its performance since being identified as a significant governance issue in the Annual Governance Statement for 2012/13. The service has also reported its progress on implementing improvements arising from an adverse Internal Audit report to the Corporate Governance Committee. A further review by internal audit in August 2014, reported that the HR Service has completed a significant amount of work to address the issues raised previously and to achieve the majority of actions detailed in its ambitious improvement plan.

We are confident that the new HR model will become better embedded across the Council and, by building and maintaining better relationships between HR and the services it supports, the anticipated benefits should finally be achieved.

We have a variety of ways to ensure that we involve our employees and their representatives in decision-making. We carry out regular staff surveys and the 2013 survey resulted in an increased response rate from 37% to 44.6% over the 2011 survey. The latest survey highlighted that:

- more employees (83%) are proud to work for the Council;
- more employees (88%) are satisfied with the Council as an employer;
- over 90% of employees stated that they enjoy their work, know what is expected of them and get on well with their colleagues;
- change management has improved, but can perhaps be better, as only 60% feel that we plan and deliver changes well; and
- communication has improved, but can perhaps be better, as only 64% feel well informed about what is going on in their service.

Our whistleblowing procedures ensure that employees can raise issues of concern freely with a wide range of people/bodies.

## Significant governance issues

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The issues in the table below, together with any less significant issues that we have identified in our self-assessment above, will be added to our Governance Improvement Action Plan managed by the Council's Governance Group and monitored by the Corporate Governance Committee (Appendix 1). The following two significant governance issues were included last year but have not progressed far enough to be removed as yet.

### Significant Governance Issue 1

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 finalise the review of 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.

Proposed action to address the issue	We will be developing and implementing a new framework during 2015 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.
Responsibility for the action	Head of Internal Audit to develop and launch the new framework.
Timescale for improvement	Framework to be completed by 30 June 2015 and launched following senior management and elected member approval.

### Significant Governance Issue 2

In 2013/14, our Internal Audit service 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. The Corporate Governance Committee has requested a progress report in May 2015, expecting the action plan to have been completed.

Proposed action to address the issue	Complete action plan and provide update report to Corporate Governance Committee.
Responsibility for the action	Acting Head of Strategic Procurement Unit
Timescale for improvement	May 2015

We propose over the coming year to take steps to address the above matters to enhance our governance arrangements. We are satisfied that these steps will address the need for improvements that were identified in our review of effectiveness and will monitor their implementation and operation as part of our next annual review.

Signed: ..... (Leader) .....2015

Signed: ..... (Chief Executive) .....2015

# Governance Improvement Action Plan

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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 finalise the review of 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 developing and implementing a new framework during 2015 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>Head of Internal Audit to develop and launch the new framework.</p>	<p>Framework to be completed by 30 June 2015 and launched following senior management and elected member approval.</p>
<p>In 2013/14, our Internal Audit service 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. The Corporate Governance Committee has requested a progress report in May 2015, expecting the action plan to have been completed.</p>	<p>Complete action plan and provide update report to Corporate Governance Committee.</p>	<p>Acting Head of Strategic Procurement Unit</p>	<p>May 2015</p>



Improvement Area	Action	Responsibility	Timescale
<b>Partnership Governance</b>			
Our partnership governance toolkit does not provide clear guidance on the roles of partnership board members. We are aware that not all partnerships use the partnership toolkit, so, as part of a comprehensive review of the partnership landscape, we need to review the guidance to ensure that it is user-friendly and effective.	This will form part of the review of third party and arms-length service providers above	Head of Internal Audit to develop and launch the new framework.	Framework to be completed by 30 June 2015 and launched following senior management and elected member approval.
<b>Constitution</b>			
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.	A new Model Constitution has been developed for Wales. Our current Constitution will be reviewed in light of the new model and updated to reflect changed job titles and portfolios.	Head of Legal & Democratic Services	<b>To be agreed</b>
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	<b>To be agreed</b>

Improvement Area	Action	Responsibility	Timescale
<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	<b>To be agreed following latest IA survey (this area will be deleted if improvement evident)</b>
<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	<b>To be agreed</b>
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.	Leader and Corporate Director for Economic and Community Ambition to undertake annual visits to Business Groups and to the Top 10 businesses in the county to ensure that we are doing all we can to support local businesses and facilitate easy and accessible contact with senior decision makers within the Council.	Leader & Corporate Director for Community Ambition	Annual

# Delivering good governance and continuous improvement

## Areas of change & development from 2013/14 to 2014/15

Colour coding	Arrangements not in place	Arrangements being implemented	Arrangements in place
Direction of travel	↓ Position deteriorating	↑ Position improving	→ Position unchanged

Principle 1 Focusing on our purpose and on the outcomes for citizens and service users		
Governance Area	Changes from last year	Direction of Travel
Communicating our Corporate Plan	We sought residents' views on the cuts that we are considering, to engage them more on how these cuts will impact on them and their communities and what can be done to lessen the impact	↑
Third parties and arms-length organisations	We have started to develop a framework to cover services provided by Council-funded service providers but this has been delayed. The framework will help to ensure that they have robust governance arrangements, and we will implement scrutiny arrangements to monitor their financial and operational performance.	↑
	We have reviewed the way we deliver services through our Town and Area Plans to improve clarity around the overarching policy intentions of the Plans and to improve the consistency in how they are developed and delivered. Improvements will also ensure that Plans are more strategic, provide clearer information on anticipated benefits and how impacts will be measured.	↑
Partnership governance toolkit	Although we have a comprehensive partnership governance toolkit, we are aware that not all partnerships use it. The above piece of work on Council-funded service providers will be extended to include partnership work.	↑
Service challenge process	This process has been highlighted as good practice through the Care and Social Services Inspectorate Wales (CSSIW) recent annual report. <i>"Within the council there is keen interest and support from elected members. They play a key role in the exemplary 'service challenge' meetings where they question lead officers about the performance and impact of the council's services."</i>	↑
Strategic procurement	During 2014/15, Internal Audit has continued to monitor progress on its 2013/14 report on Construction Procurement and report it to Corporate Governance Committee. These reviews show that progress with improvement has been slow and several deadlines missed.	→
Project management framework	The programme and project management methodologies, and the Verto system are working well across the Council, with some real deliverables now being realised.	↑
Performance management framework	The Verto system has been developed and extended to incorporate the Council's performance management processes. We are able to integrate our service business plans with programme and project activities, thus being able to report using key dependencies, such as progress against outcomes or priorities.	↑

## Principle 2 Performing effectively in clearly defined functions & roles

Governance Area	Changes from last year	Direction of Travel
Constitution – roles & responsibilities	To be updated following the Head of Legal, HR & Democratic Services' progress report to Corporate Governance Committee on 25 March 2015.	
Partnership 'board' roles	Although we have a comprehensive partnership governance toolkit, it does not provide clear guidance on the roles of partnership board members. The above piece of work on Council-funded service providers will be extended to include partnership work.	↑

## Principle 3 Promoting values for the whole organisation and demonstrating good governance through our behaviour

Governance Area	Changes from last year	Direction of Travel
Equalities	We have developed and produced a new e-learning module, which is in the process of being implemented across key customer-facing services.	↑
	Include outcome of IA survey on equalities awareness, whether improved or not	
Codes of Conduct	Code of Conduct refresher training was provided to elected members on 3 February 2015. The awareness raising strategy for employees has not yet been progressed.	↑
Anti-fraud & corruption	The anti-fraud & corruption draft strategy was considered by Corporate Governance Committee on 5 November 2014 but is still to be finalised.	↑
Whistleblowing procedures	Whistleblowing procedures have been revised but the new model constitution includes a new whistleblowing policy. The draft, which had previously been consulted upon with unions, need to be checked against this and redrafted where necessary for further consultation.	↑

## Principle 4 Taking informed and transparent decisions and managing risk

Governance Area	Changes from last year	Direction of Travel
Research & intelligence	The Research and Intelligence Team and the Corporate Programme Office have been combined following a service restructure. This new team, in addition to business as usual activities, will focus on key change activities and will begin to develop a strategic platform for management information and reporting, enhancing decision making processes.	↑
Internal audit service	During the year, the Head of Internal Audit carried out the required self-assessment review to ensure that the service complies with the new Public Sector Internal Audit Standards. The resulting improvement plan will be reported to Corporate Governance Committee as part of the Annual Internal Audit Report 2014/15 and monitored by the Committee.	↑
Information management	A Corporate Information Team was formed during 2013 to address previously identified weaknesses. Since this time, significant improvements have been made, which has recently resulted in the Internal Audit opinion being reduced from amber (major) to yellow (moderate). However, we recognise that we still have a lot of work to do but have identified this in our Information Management Strategy.	↑

## Principle 5 Developing our capacity and capability to be effective

Governance Area	Changes from last year	Direction of Travel
Member performance	Scrutiny Committees produce annual reports on their work to County Council but the Corporate Governance Committee's self-assessment previously highlighted that it had not formed part of this performance monitoring arrangement in recent years. During the year, the Committee's chair produced a report that will be presented to Council in line with the Scrutiny annual reports.	↑
Staff performance appraisals	<b>We improved performance in 2013/14, with 89% of eligible employees receiving an annual appraisal. To date for 2014/15, 87% have been completed. (this will be updated before the final version)</b>	↓
Modernisation agenda	The Modernisation Board has initiated several projects that create service delivery efficiencies and we have developed a Flexible Working Policy Statement and guidance that sets out how we expect employees to work in the future and also what support we can provide. Improvements include: <ul style="list-style-type: none"> <li>• rolled out new IT equipment;</li> <li>• upgraded the Local Area Network and Wi-fi to support flexible working;</li> <li>• continued to review our office accommodation requirements;</li> <li>• agreed a hot-desk policy;</li> <li>• continued to roll out EDRMS to more services;</li> <li>• implemented Central Invoice Registration, which will reduce the number of invoices not paid on time and avoid late payment fines; and</li> <li>• developed a Customer Service Strategy to show how we will deliver excellent customer service.</li> </ul>	↑

## Principle 5 Developing our capacity and capability to be effective

Governance Area	Changes from last year	Direction of Travel
Staff development	<p>'Yr Hwb' cohort for 2014 was involved in a range of key projects, including:</p> <ul style="list-style-type: none"> <li>• Electronic Mailroom Business Case development;</li> <li>• Financial Inclusion Project E-Learning module;</li> <li>• Modernisation Programme stakeholder and communication events; and</li> <li>• work on Economic and Community Ambition Programme stakeholder events.</li> </ul>	↑
Training benefits	More of our projects are being delivered from within services, benefitting as a result of the extensive project management training that has been undertaken over the past two years. This has resulted in a reduction of our Corporate Project Management resource, contributing to our resilience to change and our efficiencies.	↑

## Principle 6 Engaging with local people and other stakeholders to ensure robust public accountability

Governance Area	Changes from last year	Direction of Travel
Community engagement	<p>We have improved our community engagement during the year and are committed to undertaking further initiatives in 2015.</p> <ul style="list-style-type: none"> <li>• An extensive engagement and consultation debate took place in 2014 to discuss the Council's budget proposals in light of the significant savings the Council was expecting to make.</li> <li>• In delivering Denbighshire's Single Integrated Plan (Supporting Independence &amp; Resilience: Denbighshire's Wellbeing Plan 2014-2018) we extensively engaged with the community to establish our vision and priority areas.</li> </ul>	↑
Business engagement	<p>We have completed and initiated several actions that have either changed or will change our engagement with businesses.</p> <ul style="list-style-type: none"> <li>• Businesses endorsed the final Economic and Community Ambition Strategy.</li> <li>• We received positive feedback from the business community to a county wide 'Open for Business' event at the Royal International Pavilion in Llangollen.</li> <li>• Our Contract Procedure Rules now include community benefit clauses that promote the use of local business/labour/goods and supplies in all contracts.</li> <li>• Denbighshire's first Annual Business Survey was run during 2014, with 502 businesses taking part through a mixture of face to face, online and telephone engagement.</li> </ul>	↑
	The Leader and Corporate Director for Economic and Community Ambition's plan to undertake annual visits to Business Groups and to the Top 10 businesses in the county have not progressed yet as we have given priority to supporting the Freedoms and Flexibilities budget efficiency process and reviewing the Economic & Business Development team.	→

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

**Dyddiad y Cyfarfod:** 20 Mai 2015

**Aelod / Swyddog Arweiniol:** Hugh Evans - Arweinydd  
Gary Williams - Pennaeth y Gwasanaethau Cyfreithiol,  
AD a Democrataidd  
Ivan Butler - Pennaeth Archwilio Mewnol

**Awdur yr Adroddiad:** Ivan Butler - Pennaeth Archwilio Mewnol

**Teitl:** Monitro Darparwyr Gwasanaeth a ariennir gan y Cyngor

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## 1. Am beth mae'r adroddiad yn sôn?

Mae'r adroddiad hwn yn rhoi manylion i'r Pwyllgor am gwmpas a'r cynllun prosiect ar gyfer adolygu monitro Darparwyr Gwasanaeth a Ariennir gan y Cyngor, a fydd yn arwain at fframwaith newydd ar gyfer rhoi trefniadau o'r fath ar waith.

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

Mynegwyd pryderon ynglŷn â monitro Darparwyr Gwasanaeth a Ariennir gan y Cyngor, yn enwedig i ddysgu gwersi o'r trefniadau Clwyd Leisure Limited a sicrhau fod gan y Cyngor drefniadau cadarn ar waith i fonitro llywodraethu, perfformiad ariannol, perfformiad gweithredol a'r defnydd o arian y Cyngor.

Yn ei gyfarfod diwethaf, bu'r Pwyllgor hwn hefyd yn trafod rolau a chyfrifoldebau aelodau etholedig wrth gynrychioli'r Cyngor ar gyrff allanol a gofynnodd am ragor o wybodaeth am sut fyddai hyn yn cael ei ddarparu fel rhan o'r adolygiad cyffredinol o Ddarparwyr Gwasanaeth a Ariennir gan y Cyngor .

## 3. Beth yw'r Argymhellion?

- I'r Pwyllgor ystyried a thrafod y cwmpas arfaethedig a'r cynllun prosiect
- I'r Pwyllgor gytuno sut y mae'n dymuno monitro cynnydd ar y prosiect

## 4. Manylion yr Adroddiad

Mae'r Cwmpas a Chynllun Prosiect ynghlwm (Atodiad 1) yn darparu manylion llawn i'r Pwyllgor o'r rhesymeg y tu ôl i'r adolygiad hwn, cwmpas y gwaith sydd i'w wneud a'r amserlenni ar gyfer y prosiect.

Bydd y prosiect yn arwain at fframwaith newydd ar gyfer dechrau trefniadau gyda sefydliadau y mae'r Cyngor yn darparu cyllid iddynt i ddarparu gwasanaethau ar ei ran. Bydd hyn yn cynnwys cyrff hyd braich, partneriaethau, sefydliadau a ariennir gan grantiau, a chyflenwyr mawr trydydd parti o wasanaethau allweddol.

Y nod yw darparu dull sy'n seiliedig ar risg, yn dibynnu ar lefel y cyllid y mae'r Cyngor yn ei ddarparu, fel na fydd y trefniadau yn or-fiwrocraidd ar gyfer sefydliadau bach, ond yn darparu trefniadau cadarn ar gyfer trefniadau ariannu mwy sylweddol. Mae hyn yn golygu y bydd gan y Cyngor drefniadau cadarn ar waith i roi sicrwydd i uwch reolwyr, aelodau etholedig a'i rhanddeiliaid bod y cyllid mae'n ddarparu i drydydd partiön yn cael ei ddefnyddio ar gyfer y pwrpas a fwriadwyd a'i fod yn cyflawni'r amcanion gofynnol.

Bydd y fframwaith newydd hefyd yn cynnwys trefniadau ar gyfer sicrhau bod rolau aelodau etholedig ar 'fyrdau' yn glir, wedi'u deall yn llawn ac yn cael eu defnyddio i sicrhau eu bod yn cyflawni eu rolau a'u cyfrifoldebau yn effeithiol. Adroddodd y Pennaeth Gwasanaethau Cyfreithiol, AD a Democraidd i'r Pwyllgor eisoes ar gynrychiolaeth aelodau etholedig ym mis Gorffennaf 2014 (ynghlwm fel Atodiad 2) ac mae'r prosiect hwn yn rhoi'r cyfle i roi sylw i hyn fel rhan o fframwaith cyffredinol. Bydd hyn yn cynnwys rolau aelod etholedig, cyfrifoldebau, llinellau adrodd ac amllder adrodd.

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

Nid oes angen gwneud penderfyniad ar yr adroddiad hwn; fodd bynnag, gall y gwaith a wneir gan Ddarparwyr Gwasanaeth a Ariennir gan y Cyngor gyfrannu'n uniongyrchol neu'n anuniongyrchol i'r Blaenoriaethau Corfforaethol, yn dibynnu ar y gwasanaeth a ddarperir.

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

Nid oes costau yn gysylltiedig â'r adroddiad hwn.

#### **7. Beth yw 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.**

Nid oes angen penderfyniad na chynnig ar gyfer newid mewn perthynas â'r adroddiad hwn, felly nid oes unrhyw effaith ar bobl sy'n rhannu nodweddion sydd wedi eu gwarchod.

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

Trafododd y Tîm Gweithredol Corfforaethol gwmpas drafft ar gyfer y prosiect ar 28 Gorffennaf 2014, gan gytuno ar ddyddiad cwblhau o 31 Mawrth 2015. Yn anffodus, oherwydd newidiadau sylweddol yn y tîm Archwilio Mewnol, mae'r terfyn amser hwn wedi cael ei ohirio i 30 Mehefin, 2015.

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

Nid oes unrhyw oblygiadau ariannol ynghlwm wrth yr adroddiad hwn.

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



Bydd y fframwaith newydd yn sicrhau bod Cyngor Sir Ddinbych yn mynd i'r afael â'r risgiau allweddol canlynol:

- Mae cael cyfarwyddyd a threfniadau cyson ar gyfer sefydlu a chofnodi Darparwyr Gwasanaeth a Ariennir gan y Cyngor yn golygu y bydd yn gwbl ymwybodol o'r holl Darparwyr Gwasanaeth a Ariennir gan y Cyngor bydd yn ymdrin â nhw.
- Mae cael trefniadau monitro rheolaidd a chadarn yn golygu na fydd yn ariannu Darparwyr Gwasanaeth a Ariennir gan y Cyngor nad ydynt yn darparu'r canlyniadau a fwriadwyd a bydd yn ymwybodol o'r Darparwyr Gwasanaeth a Ariennir gan y Cyngor sy'n perfformio'n wael, yn weithredol a/ neu'n ariannol.
- Mae cael trefniadau llywodraethu cadarn dros Ddarparwyr Gwasanaeth a Ariennir gan y Cyngor yn lleihau'r tebygolrwydd o fethiant yn ei stiwardiaeth o gyllid cyhoeddus.
- Mae cael mecanweithiau rhybuddio cynnar trwy wybodaeth monitro rheolaidd yn lleihau'r tebygolrwydd y bydd yn dioddef colled ariannol o ganlyniad i Ddarparwyr Gwasanaeth a Ariennir gan y Cyngor yn peidio â bodoli ac ni ddylai orfod camu i mewn gyda threfniadau at raid i ddarparu gwasanaethau.
- Mae cael achosion busnes cadarn ar gyfer cymeradwyo trefniadau Darparwyr Gwasanaeth a Ariennir gan y Cyngor yn golygu y gall sicrhau bod Darparwyr Gwasanaeth a Ariennir gan y Cyngor yn rhannu gwerthoedd Cyngor Sir Ddinbych ac ni ddylai ddwyn anfri ar y Cyngor drwy ei ymddygiad.
- Mae cael cytundebau cyfreithiol cadarn a chytundebau lefel gwasanaeth yn sicrhau bod y ddau sefydliad yn deall eu rolau a'u cyfrifoldebau ac yn cryfhau sefyllfa Cyngor Sir Ddinbych mewn achos o anghydfod.
- Mae darparu arweiniad a chefnogaeth gadarn i'w aelodau etholedig sy'n eistedd ar gyrff allanol yn diogelu eu buddiannau, yn gwella'r tebygolrwydd o archwilio cadarn ac yn egluro'r sefyllfa gyfreithiol a'r gwrthdaro o ran buddiannau sy'n ymwneud â swyddi cyfarwyddwyr ac ymddiriedolwyr.
- At ei gilydd, mae'r fframwaith yn golygu na ddylai Cyngor Sir Ddinbych ddioddef niwed sylweddol i'w enw da oherwydd methiant Darparwyr Gwasanaeth a Ariennir gan y Cyngor.

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

Nid oes angen gwneud penderfyniad ynglŷn â'r adroddiad hwn.

Mae tudalen hwn yn fwriadol wag



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

## Internal Audit Project Scoping Document

<b>Project area: Governance Arrangements for Council-funded Service Providers</b>	<b>Project no. D141505</b>
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<b>Prepared By</b>	Ivan Butler	<b>Date</b>	06/10/14
<b>Approved By</b>	n/a	<b>Date</b>	n/a
<b>Agreed With</b>	Discussed with CET	<b>Date</b>	July 2014

Reason for Project
<p>The public sector faces increasing financial pressures that are leading to changing service delivery methods. This means that the Council’s elected members need to be aware of and understand their accountabilities and responsibilities when scrutinising and representing the Council on ‘arms-length’ body boards, committees etc., including conflicts of interest.</p> <p>The Performance Scrutiny Committee initially asked for assurance on the performance of other ‘arms-length’ organisations but, during the development of the Council’s ‘annual governance statement’, subsequent discussions and committee reports, it became clear that the Council cannot be fully assured that bodies that it funds to deliver services on its behalf have robust governance arrangements in place. This has now been raised as a significant governance issue in the Council’s ‘annual governance statement’ 2013/15 and 2014/15, as recognition that it cannot transfer this accountability.</p> <p>This review will also take the outcome of the ‘lessons learned’ report on Clwyd Leisure Limited.</p> <p>CET agreed that a new risk-based framework needs to be established for Council-funded service providers (CFSPs). The original target date was 1 April 2015 but, due to a restructuring in the Internal Audit service, a new target date of 1 July 2015 has been set.</p>

### Scope of Project

CET agreed that the scope of assurance should cover grant-funded organisations, partnership arrangements and major third-party providers of services. Failure of governance arrangements in these three categories could have a significant detrimental impact on the Council's reputation.

The project will:

- identify current service providers in each of the three categories;
- carry out a risk-assessment within each category, based on the level of funding and type of service carried out;
- identify and assess current monitoring arrangements;
- assess current legal arrangements and new requirements;
- review elected member roles and responsibilities on 'boards', identifying appropriate guidance and training to allow them to effectively discharge their role;
- recommend and agree changes to current arrangements as necessary;
- develop a new monitoring framework and documentation;
- design an implementation plan for the new framework;
- formally launch the new framework; and
- ensure that SLT, CET and Corporate Governance Committee are kept informed at all stages.

### Anticipated 'Added Value' of Project

The new framework will provide a concise and easy to use method to manage current arrangements for CFSPs, as well as ensuring that any new arrangements are entered into in a consistent way.

The Council will have robust arrangements in place to provide assurance to senior management, elected members and its stakeholders that the funding it is providing to third parties is being used for the intended purpose and is delivering the required objectives.

A new framework for monitoring CFSPs will contribute significantly to DCC's own governance arrangements and address a significant governance weakness highlighted in its 'annual governance statement' so that its stakeholders are assured that public money is fully accounted for and used for its intended purpose in delivering DCC's corporate priorities and statutory duties.

# Denbighshire Internal Audit Services

## Risks to be Reviewed

The new framework will ensure that DCC addresses the following key risks:

- Having guidance and consistent arrangements for setting up and recording CFSPs means that it will be fully aware of all CFSPs that it deals with.
- Having regular and robust monitoring arrangements means that it will not fund CFSPs that do not deliver intended outcomes and will be aware of CFSPs that perform poorly, operationally and/or financially.
- Having robust governance arrangements over CFSPs reduces the likelihood of failure in its stewardship of public funds.
- Having early warning mechanisms through regular monitoring information reduces the likelihood that it will suffer financial loss due to a CFSP ceasing to exist and should not have to step in with contingency arrangements to deliver services.
- Having robust business cases for approval of CFSP arrangements means that it can ensure that CFSPs share DCC's values and should not bring the Council into disrepute through its behaviour.
- Having robust legal agreements and service level agreements ensures that both organisations understand their roles and responsibilities and strengthens DCC's position in the event of dispute.
- Providing robust guidance and support to its elected members who sit on outside bodies protects their interests, improves the likelihood of robust scrutiny and clarifies the legal position and conflicts of interest relating to directorships and trustees.
- Overall, the framework means that DCC should not suffer significant damage to its reputation due to failure of a CFSP.

## Project Plan

Prog No.	Stage Details	Target Date	Progress	Issues Arising
1.	Draft Scope of Project	30/04/15	Completed and included above	n/a
2.	Draft Project Plan	30/04/15	Completed	n/a
3.	ID Key areas funded as CFSPs	22/05/15	In progress and nearly completed.	Delayed from initial target date due to restructure in IA service.
4.	ID key Partnerships			
5.	ID key 3 <sup>rd</sup> party supplier areas			
6.	ID Key contacts from the above and discuss current governance, monitoring and reporting arrangements			
7.	ID key strengths and weaknesses from the current monitoring arrangements	29/05/15		
8.	Discuss and assess current financial & legal arrangements for the above	29/05/15		
9.	Review elected member roles and responsibilities on 'boards', identifying appropriate guidance and training to allow them to effectively discharge their role	29/05/15		
10.	Agree changes to current arrangements	05/06/15		
11.	Draft new guidelines, including templates	19/06/15		
12.	Develop implementation plan for the new framework	26/06/15		
13.	Finalise framework and documentation	30/06/15		
14.	Seek formal approval of the new framework	July 2015		
15.	Launch new framework	July 2015		

**Report to:** Corporate Governance Committee  
**Date of Meeting:** 15 April 2014  
**Lead Member:** Councillor Barbara Smith  
**Report Author:** Head of Legal and Democratic Services  
**Title:** Member Representation on Outside Bodies - Update

**1. What is the report about?**

1.1 The report is about appropriate arrangements for Members who represent the Council on Outside Bodies to report back to the Council on their work with those Outside Bodies.

**2 What is the reason for making this report?**

2.1 To provide Members with an update on the work being done in respect of a mechanism for Members on Outside Bodies to use to report back to the Council on the activities of those bodies.

**3 What are the recommendations?**

3.1 That Members consider the contents of this report and agree options to be recommended to the Council.

**4 Report details**

4.1 Members have previously considered a report on the Protocol for Members on Outside Bodies. The Committee requested further information regarding the creation of a mechanism by which Members appointed by the Council to represent it on Outside Bodies could report back to the Council on their work with and the activities of the Outside Body.

4.2 The Outside Bodies to which the Council appoints representatives are many and varied. In addition the roles to which Members are appointed on those bodies can differ greatly. Some Members are appointed as Directors or Trustees, both of which roles carry with them specific legal duties and obligations to the body to which they have been appointed. A fuller description of these roles is contained in the Protocol and Guidance for Elected Members appointed to Outside Bodies attached as Appendix 1.

4.3 At the meeting of the Committee in November 2013 Members asked for a list of Outside Bodies to which Members had been appointed set out in the following categories:

- Bodies which set a precept that the Council collects
- Bodies to which the Council pays a subscription to be a members
- Bodies which receive a grant or other financial assistance from the Council
- All other Outside Bodies

The list is attached as Appendix 2.

4.4 In considering whether and how Members report back to the Council the Committee will need to consider the following issues:

- Whether there needs to be the same frequency and detail of reporting in respect of all Outside Bodies
- Whether the frequency and detail of reporting depends on the level of risk posed to the Council e.g. financial, reputational
- Directors and trustees will owe duties in law to the body to which they are appointed and may be bound by obligation of confidentiality to that body that restricts the level of detail included in any report.
- The forum to which the reports are made
- The potential overlap and duplication with the system of Annual Reports for Members on their activities as Councillors.

4.5 A draft template report is attached for Members' consideration as Appendix 3.

4.6 The Committee is requested to consider the issues set out in this report and indicate their preferences in order that a fuller consultation take place with all elected Members.

## **5 How does the decision contribute to the Corporate Priorities?**

5.1 The work of outside bodies can contribute to the delivery of the Council's priorities and regular information on their activities may assist the Council in planning future activity.

## **6 What will it cost and how will it affect other services?**

6.1 There will be some additional staff time incurred in administrating the reporting process. This should be contained within existing budget.



**7 What consultations have been carried out and has an Equality Impact Assessment Screening been undertaken?**

7.1 This report is the beginning of a consultation with Members. There is no need for an Equality Impact Assessment.

**8 Chief Finance Officer Statement**

8.1 The recommendations of this report do not appear to have any financial implications.

**9 What risks are there and is there anything we can do to reduce them?**

9.1 The risk of not receiving regular reports is that Members continue to be appointed to outside bodies that cease to be relevant to the Council's objectives and take up Members' time unnecessarily.

**10 Power to make the Decision**

10.1 Section 111 Local Government Act 1972.

Mae tudalen hwn yn fwriadol wag

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

27 Gorffennaf 2015		Eitemau Sefydlog	
	1	Materion a Gyfeiriwyd gan y Pwyllgorau Archwilio	Cydlynnydd Archwilio, Rhian Evans
	2	Adroddiadau Rheoleiddio Allanol Diweddar a Dderbyniwyd	Pennaeth Busnes, Cynllunio a Pherfformiad, Alan Smith / Keith Amos
	3	Adroddiad Cynnydd Archwilio Mewnol	Pennaeth y Gwasanaethau Archwilio Mewnol, Ivan Butler / Cynghorydd Julian Thompson-Hill
	4	Adborth o'r Cyfarfod Cydraddoldeb Corfforaethol - llafar	Cynghorydd Martyn Holland / Hugh Evans
	5	Rhaglen Gwaith i'r Dyfodol	
		<b>Adroddiadau</b>	
	6	Proses y Gyllideb 2016/17	Prif Gyfrifydd / Richard Weigh
Tudalen 123	7	Cyfrifon Drafft	Prif Gyfrifydd / Richard Weigh
	8	Adroddiad Caffael Gwasanaethau Adeiladu	Pennaeth Cyfathrebu, Marchnata a Hamdden / Jamie Groves a'r Rheolwr Caffael Strategol Dros Dro / Stuart Andrews
	9	Taliad Ariannol i rai sy'n Gadael Gofal - Diweddariad (Adroddiad llafar gan Jamie Groves)	Pennaeth Cyfathrebu, Marchnata a Hamdden / Jamie Groves a'r Rheolwr Caffael Strategol Dros Dro / Stuart Andrews a'r Rheolwr Gwasanaeth Plant Dan Ofal / Rhian Morrle
	10	Adroddiad Swyddfa Archwilio Cymru - Gwydnwch Ariannol Cynghorau yng Nghymru	Swyddfa Archwilio Cymru
	11	Adroddiad yr Archwilydd Cyffredinol - Rheoli Ymadawiadau Cynnar	Swyddfa Archwilio Cymru
	12	Cyfansoddiad Model Newydd	Pennaeth y Gwasanaethau Cyfreithiol, AD a Democraidaidd, Gary Williams
	13	Pwyllgor Llywodraethu Corfforaethol – Diweddariad Cylch Gorchwyl	Pennaeth y Gwasanaethau Cyfreithiol, AD a Democraidaidd, Gary Williams

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

<b>28 Medi 2015</b>		<b>Eitemau Sefydlog</b>	
	1	Materion a Gyfeiriwyd gan y Pwyllgorau Archwilio	Cydlynnydd Archwilio / Rhian Evans
	2	Adroddiadau Rheoleiddio Allanol Diweddar a Dderbyniwyd	Pennaeth Busnes, Cynllunio a Pherfformiad, Alan Smith / Keith Amos
	3	Adroddiad Cynnydd Archwilio Mewnol	Pennaeth y Gwasanaethau Archwilio Mewnol, Ivan Butler / Y Cynghorydd Julian Thompson-Hill
	4	Adborth o'r Cyfarfod Cydraddoldeb Corfforaethol - llafar	Cynghorwyr Martyn Holland / Hugh Evans
	5	Rhaglen Gwaith i'r Dyfodol	
Tudalen 124		<b>Adroddiadau</b>	
	6	Proses y Gyllideb 2016/17	Prif Gyfrifydd / Richard Weigh
	7	Adroddiad Blynyddol Eich Llais	Pennaeth Cwsmeriaid a Chefnogaeth Addysg Jackie Walley / Clare O'Gorman
	8	Cyfrifon Terfynol	Prif Gyfrifydd / Richard Weigh
<b>18 Tachwedd 2015</b>		<b>Eitemau Sefydlog</b>	
	1	Materion a Gyfeiriwyd gan y Pwyllgorau Archwilio	Cydlynnydd Archwilio / Rhian Evans
	2	Adroddiadau Rheoleiddio Allanol Diweddar a Dderbyniwyd	Pennaeth Busnes, Cynllunio a Pherfformiad, Alan Smith / Keith Amos
	3	Adroddiad Cynnydd Archwilio Mewnol	Pennaeth Archwilio Mewnol, Ivan Butler / Cynghorydd Julian Thompson-Hill
	4	Adborth o'r Cyfarfod Cydraddoldeb Corfforaethol - llafar	Cynghorwyr Martyn Holland / Hugh Evans
	5	Rhaglen Gwaith i'r Dyfodol	
		<b>Adroddiadau</b>	
	6	Proses y Gyllideb 2016/17	Prif Gyfrifydd / Richard Weigh

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

<b>27 Ionawr 2015</b>		<b>Eitemau Sefydlog</b>	
	1	Materion a Gyfeiriwyd gan y Pwyllgorau Archwilio	Cydlynnydd Archwilio / Rhian Evans
	2	Adroddiadau Rheoleiddio Allanol Diweddar a Dderbyniwyd	Pennaeth Busnes, Cynllunio a Pherfformiad, Alan Smith / Keith Amos
	3	Adroddiad Cynnydd Archwilio Mewnol	Pennaeth y Gwasanaethau Archwilio Mewnol, Ivan Butler / Y Cynghorydd Julian Thompson-Hill
	4	Adborth o'r Cyfarfod Cydraddoldeb Corfforaethol - llafar	Cynghorwyr Martyn Holland / Hugh Evans
	5	Rhaglen Gwaith i'r Dyfodol	
		<b>Adroddiadau</b>	
	6	Proses y Gyllideb 2016/17	Prif Gyfrifydd / Richard Weigh

Tudalen 5 o 25

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

Diwygiwyd 01/05/2015 CIW

Mae tudalen hwn yn fwiadol wag