

At: Aelodau'r Pwyllgor Llywodraethu  
Corfforaethol

Dyddiad: 22 Ebrill 2016

Rhif Union: 01824712575

ebost: dcc\_admin@denbighshire.gov.uk

Annwyl Gyngorydd

Fe'ch gwahoddir i fynychu cyfarfod y **PWYLLGOR LLYWODRAETHU CORFFORAETHOL, DYDD MERCHER, 27 EBRILL 2016** am **9.30 am** yn **YSTAFELL BWYLLGORA 1A, NEUADD Y SIR, RHUTHUN.**

Yn gywir iawn

G Williams  
Pennaeth Gwasanaethau Cyfreithiol, AD a Democrataidd

## **AGENDA**

### **1 YMDDIHEURIADAU**

### **2 DATGAN CYSYLLTIAD**

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 5 - 20)**

Derbyn cofnodion cyfarfod y Pwyllgor Llywodraethu Corfforaethol a gynhaliwyd ar 23 Mawrth 2016.

**5 UNO GWASANAETHAU ADDYSG A GWASANAETHAU PLANT**

(Tudalennau 21 - 60)

Ystyried adroddiad gan y Cyfarwyddwr Corfforaethol: Cymunedau (copi ynghlwm) ar y canfyddiadau o'r Prawf Sicrwydd ar gyfer uno Gwasanaethau Addysg a Gwasanaethau Plant a Theuluoedd yng Nghyngor Sir Ddinbych (CSDd).

**6 ADRODDIAD GWELLA BLYNYDDOL SAC - 2015/16** (Tudalennau 61 - 108)

Derbyn adroddiad a chyflwyniad gan Swyddfa Archwilio Cymru (copi ynghlwm) ar yr Adroddiad Gwella Blynyddol 2015/16.

**7 ARDYSTIO GRANTIAU A FFURFLENNI GRANT 2014/15** (Tudalennau 109 - 124)

Ystyried adroddiad gan y Prif Swyddog Cyllid (copi ynghlwm) a oedd yn nodi crynodeb o'r canlyniadau allweddol o waith ardystio Swyddfa Archwilio Cymru ar grantiau a ffurflenni grant 2014/15 y Cyngor.

**8 PROSES Y GYLLIDEB 2015/16** (Tudalennau 125 - 132)

Ystyried adroddiad gan y Prif Swyddog Cyllid (copi ynghlwm) sy'n rhoi diweddariad ar y broses i gyflawni'r gyllideb refeniw ar gyfer 2017/18.

**9 ADRODDIAD BLYNYDDOL ARCHWILIO MEWNOL 2015/16** (Tudalennau 133 - 142)

Ystyried adroddiad gan y Pennaeth Archwilio Mewnol (copi ynghlwm) ar ddigonolrwydd ac effeithiolrwydd fframwaith llywodraethu, risg a rheolaeth y Cyngor yn ystod y flwyddyn sy'n llywio'r 'datganiad llywodraethu blynyddol'.

**10 CYNLLUN SICRWYDD BLYNYDDOL ARCHWILIO MEWNOL 2016/17**  
(Tudalennau 143 - 156)

Ystyried adroddiad gan y Pennaeth Archwilio Mewnol (copi ynghlwm) ar y Cynllun Sicrwydd Blynyddol Archwilio Mewnol 2016-17.

**11 DRAFFT O'R DATGANIAD LLYWODRAETHU A GWELLIANT BLYNYDDOL 2015/16** (Tudalennau 157 - 184)

Ystyried adroddiad gan y Pennaeth Archwilio Mewnol (copi ynghlwm) sy'n darparu'r adroddiad hunanasesu ar drefniadau llywodraethu a gwella'r Cyngor ar gyfer 2015/16.

**12 ARCHWILIAD MEWNOL O GYNLLUN AMDDIFFYN ARFORDIROL  
GORLLEWIN Y RHYL CAM 3** (Tudalennau 185 - 208)

Ystyried adroddiad gan y Pennaeth Archwilio Mewnol (copi ynghlwm) ar yr adroddiad Archwilio Mewnol diweddar ar y prosiect Amddiffynfeydd Arfordirol a gafodd sgôr sicrwydd 'Isel'.

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

Ystyried adroddiad ar lafar gan Bennaeth y Gyfraith, Adnoddau Dynol a Gwasanaethau Democrataidd ar yr adborth ar gyfarfod cydraddoldeb corfforaethol.

**14 RHAGLEN WAITH Y PWYLLGOR LLYWODRAETHU CORFFORAETHOL**  
(Tudalennau 209 - 212)

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

**AELODAETH**

**Y Cynghorwyr**

Ann Davies  
Stuart Davies  
Peter Duffy

Alice Jones  
Jason McLellan

**Aelod Lleyg**

Paul Whitham

**COPIAU I'R:**

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

Mae tudalen hwn yn fwriadol wag

## PWYLLGOR LLYWODRAETHU CORFFORAETHOL

Cofnodion cyfarfod o'r Pwyllgor Llywodraethu Corfforaethol a gynhaliwyd yn Ystafell Bwyllgora 1a, Neuadd y Sir, Rhuthun, Dydd Mercher, 23 Mawrth 2016 am 9.00 am.

### YN BRESENNOL

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

Roedd Y Cynghorydd Meirick Lloyd Davies, Hugh Evans, Bobby Feeley a/ac Julian Thompson Hillyn bresennol fel arsyllwyr.

### HEFYD YN BRESENNOL

Y Cyfarwyddwr Corfforaethol: Cymunedau (NS), Y Pennaeth Gwasanaethau Cyfreithiol AD a Gwasanaethau Democrataidd (GW), Y Pennaeth Archwilio Mewnol (IB), Y Pennaeth Gwella Busnes a Moderneiddio (AS), Y Prif Swyddog Cyllid (RW), Y Prif Gyfrifydd (SG), Y Rheolwr Cynllunio ac Adnoddau Addysg (IL), Y Rheolwr Cyllid Ysgolion (CJ), Arbenigwr Recriwtio (AM), Cynrychiolwyr Swyddfa Archwilio Cymru (AV, GB, MP, CO) a Gweinyddwr y Pwyllgor (CIW).

Gofynnodd y Cadeirydd am gael cyfleu cydymdeimlad y Pwyllgor i deuluoedd y Cynghorwyr Richard Davies a Peter Owen oedd, gwaetha'r modd, wedi marw.

#### 1 YMDDIHEURIADAU

Derbyniwyd ymddiheuriadau am absenoldeb oddi wrth y Cynghorwr(wyr) Ann Davies a/ac Alice Jones.

#### 2 DATGAN CYSYLLTIAD

Ni wnaeth unrhyw aelod ddatgan cysylltiad personol neu sy'n rhagfarnu mewn unrhyw fater a nodwyd i'w ystyried yn y cyfarfod hwn.

#### 3 MATERION BRYD

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

#### 4 COFNODION

Cyflwynwyd cofnodion cyfarfod y Pwyllgor Llywodraethu Corfforaethol a gynhaliwyd ar 27<sup>ain</sup> Ionawr, 2016.

Cywirdeb:- Nodwyd fod yr Aelod Lleyg Mr Paul Whitham yn bresennol yn y cyfarfod.

Materion yn codi:-

5. Ysgol Mair, Rhyl – Cynllun Adfer Ariannol:- Hysbysodd y Pennaeth Gwasanaethau Cyfreithiol, Adnoddau Dynol a Democrataidd yr Aelodau ei fod wedi cysylltu â Swyddfa Addysg yr Esgobaeth i gael ymatebion i'r materion a'r pryderon a godwyd gan Aelodau'r Pwyllgor, a derbyniwyd yr ymatebion a ganlyn:-

- Nid oedd gan yr Esgobaeth dîm ymgynghori arbenigol i ddarparu cymorth a chynghor i ysgolion ar faterion ariannol, ac awgrymwyd y dylai ysgolion gysylltu â'r Esgobaeth yn uniongyrchol i drafod materion ariannol.

- O ran yr amserlen mewn perthynas â secondio aelod o staff o Ysgol Mair, ynghyd ag ysgolion Catholig eraill yn Sir Ddinbych a all fod yn profi problemau tebyg i'r rheiny yn Ysgol Mair, byddai'n cael ei hanfon ymlaen i'r Pennaeth Gwasanaethau Cyfreithiol, Adnoddau Dynol a Democrataidd yn y dyfodol. Cytunodd y Pennaeth Gwasanaethau Cyfreithiol, Adnoddau Dynol a Democrataidd i gylchredeg y wybodaeth i Aelodau'r Pwyllgor ar ôl ei derbyn gan Swyddfa Addysg yr Esgobaeth.

10. Rhaglen Gwaith i'r Dyfodol y Pwyllgor Llywodraethu Corfforaethol – Mewn ymateb i gwestiwn gan Mr P. Whitham, eglurodd y Pennaeth Gwasanaethau Cyfreithiol, Adnoddau Dynol a Democrataidd y cynhaliwyd Gweithdy i ystyried y Cyfansoddiad ym mis Mawrth 2016, a byddai adroddiad yn cael ei gyflwyno i'r Pwyllgor yn nodi'r canlyniad.

**PENDERFYNWYD** – yn amodol ar yr uchod, fod y cofnodion yn cael eu derbyn a'u cymeradwyo fel cofnod cywir.

## **5 PROSES GYLLIDEB 2015/16**

Roedd adroddiad gan y Prif Gyfrifydd, oedd yn rhoi diweddariad ar y broses i ddarparu'r gyllideb refeniw ar gyfer 2016/17, wedi ei gylchredeg ymlaen llaw.

Gyda chymorth y Prif Gyfrifydd, rhoddodd y Cynghorydd J. Thompson-Hill, grynoded manwl o'r adroddiad. Eglurwyd bod yr adroddiad blaenorol ym mis Ionawr wedi crynhoi'r broses Rhyddid a Hyblygrwydd a lwyddodd i ddarparu cyllidebau cytbwys ar gyfer 2015/16 a 2016/17. Byddid yn parhau i lunio adroddiadau monitro perfformiad cyllideb misol i'r cabinet ac mae'r Grŵp Tasg a Gorffen Torri'r Brethyn ar waith i fonitro effaith penderfyniadau cyllidebol a gymerir fel rhan o'r broses.

Ar ôl derbyn y Setliad Terfynol ddechrau mis Mawrth roedd gwaith wedi dechrau ar ddiffinio proses newydd y gyllideb i gyflwyno cyllideb 2017/18. Sut bynnag, roedd y rhagdybiaethau a fyddai'n llywio manylion y Cynllun Ariannol Tymor Canolig (CATC) a'r broses ei hun yn dal i gael eu datblygu. Roedd y Tybiaethau Allweddol oedd yn llywio Datblygiad y CATC wedi eu cynnwys yn yr adroddiad, ynghyd ag Egwyddorion Proses Gyllideb 2017/18.

Rhoddyd gwybod i'r Aelodau bod amserlen ddrafft wedi cael ei datblygu a fyddai'n agored i newidiadau pellach (gweler Atodiad 1). Roedd yr amserlen yn ymhelaethu ar bedwar cam canlynol proses y gyllideb:-

1) Diffinio a datblygu'r broses

- 2) Nodi cynigion cychwynnol
- 3) Ymgynghori ar, a chwblhau, cynigion
- 4) Y camau cymeradwyo terfynol

Eglurodd y Prif Gyfrifydd fod yr amserlen, Atodiad 1, wedi newid gan y cyflwynwyd y ffurflenni i'r UDRh cyn y dyddiad oedd wedi ei drefnu, sef 7<sup>fed</sup> Ebrill, 2016.

Amlinellwyd manylion y newidiadau ar gyfer yr Aelodau a phwysleisiwyd y byddai'r broses hon yn para am flwyddyn. Cadarnhawyd y byddai bob cam yn caniatáu ar gyfer ymgynghori ac ymgysylltu â'r rhanddeiliaid perthnasol. Byddai diweddariad pellach yn cael ei roi yn y cyfarfod nesaf, ac erbyn hynny byddwn wedi ymgynghori ar broses y gyllideb a'r Cynllun Ariannol Tymor Canolig ac wedi eu cymeradwyo. Yn seiliedig ar dybiaethau presennol o ran pwysau ariannu a chost, rhagwelir y bydd bwlch o £4.4 miliwn yng nghyllideb 2017/18. Mae adroddiadau blaenorol wedi tynnu sylw manwl at y broses ymgynghori sylweddol a wnaed i gyflawni cyllidebau 2015/16 a 2016/17.

Roedd proses y gyllideb arfaethedig ar gyfer 2017/18 wedi ei chrynhai yn Atodiad1, ynghyd â manylion y broses ymgynghori a fabwysiadwyd. Eglurwyd ei bod yn debygol y byddai gostyngiadau cyllid i awdurdodau lleol yng Nghymru yn parhau yn y tymor canolig, ac er y bydd y Cyngor bob amser yn ymdrechu i fod yn fwy effeithlon er mwyn arbed arian, efallai na fydd hyn yn do'i hun yn ddigonol yn y dyfodol. Bydd penderfyniadau ar y gyllideb yn mynd yn galetach ac mae'n debyg y bydd angen rhagor o amser i'w cyflawni.

Bydd proses y gyllideb arfaethedig ar gyfer 2017/18 yn helpu i gyflwyno cyllideb gytbwys a bydd yn galluogi'r Cyngor i ystyried rhagdybiaethau cyllid allweddol, pwysau gwasanaeth, lefelau arian parod wrth gefn a lefelau ffioedd a thaliadau yn y Cyngor.

Eglurodd y Cadeirydd ei fod yn falch bod yr effaith ar wasanaethau wedi cael ystyriaeth. Darparodd y Prif Swyddog Cyllid amlinelliad o sut y byddai'r effaith ar wasanaethau'n cael rhannu'n ddwy elfen gyda golwg ar gyflawni targedau effeithlonrwydd. Byddai'r rhain yn cael eu cynnig ac wedyn eu mabwysiadu gan y gwasanaethau priodol.

Pwysleisiodd y Cynghorydd S.A. Davies bwysigrwydd ymrwymo Aelodau ar gychwyn y broses, gyda sylw penodol i gyfraniad Aelodau yng Ngweithdai'r Gyllideb. Mynegodd bryderon am effaith penderfyniadau sy'n ymwneud â'r gyllideb ar y cyhoedd, ynghyd â chanlyniadau yn sgil y cynnydd cyflym yn niferoedd y disgyblion yn ysgolion Sir Ddinbych a'r cyfarwyddebau a dderbynnir mewn perthynas â'r lefelau arian parod wrth gefn a ddalir gan Gynghorau. Cyfeiriodd y Cadeirydd at brosesau gosod y gyllideb a phenderfyniadau a chymeradwyodd y barnau a fynegwyd gan y Cynghorydd Davies mewn perthynas â'r angen am fwy o ymrwymiad gan Aelodau ar gychwyn proses gosod y gyllideb. Amlinellodd y Cynghorydd J. Thompson-Hill anghysondeb yn y codau lliw yn Atodiad 1, ac eglurodd y dylai'r cyfeiriad at 23<sup>ain</sup> Mawrth, 2016 fod mewn melyn ac nid yn las.

Teimlodd y Cynghorydd H.H. Evans bod proses gosod y gyllideb a fabwysiadwyd gan Sir Ddinbych yr un mor dda ag unrhyw un yng Nghymru, ac amlygodd problemau a brofwyd yn flaenorol o ran annog Aelodau i ymrwymo i'r broses.

Ystyriodd y Pwyllgor y barnau a fynegwyd gan y Pwyllgor mewn perthynas ag ymrwymo Aelodau ar gychwyn proses y gyllideb, ac awgrymwyd y dylid ystyried y mater yn sesiwn yr Uwch Dîm Rheoli ar 7<sup>fed</sup> Ebrill, 2016 ac yn Sesiwn Briffio'r Cyngor ar 6<sup>ed</sup> Mehefin 2016.

Ystyriodd y Pwyllgor y barnau a fynegwyd gan y Pwyllgor ynghylch ymrwymo Aelodau ar gychwyn proses y gyllideb, ac awgrymwyd y dylid ystyried y mater yng Nghyfarfod yr Arweinyddion Grwpiau ar 4<sup>ydd</sup> Ebrill, 2016 ac yn Sesiwn Briffio'r Cyngor ar 6<sup>ed</sup> Mehefin 2016.

Darparodd y Prif Swyddog Cyllid a'r Prif Gyfrifydd amlinelliad o'r amserlenni sy'n ymwneud â phroses y gyllideb a'r effaith o ran y rhaglen ar gyfer gwneud penderfyniadau gweithredol.

Eglurodd y Prif Swyddog Cyllid bod yr holl wybodaeth a gynhyrchwyd yn flaenorol ar gael yn llyfrgell yr Aelodau ac nad oedd yr egwyddorion wedi newid. Fodd bynnag, atgoffodd y Pwyllgor y byddai'r broses newydd yn dibynnu ar ganlyniad y Setliad Terfynol, a theimlodd efallai bod y targed arbedion yn uwch nag oedd ei angen.

Yn ystod y drafodaeth ddilynol, cytunodd y Cynghorydd H.H. Evans i godi'r mater yng nghyfarfod yr Arweinyddion Grwpiau ar 4<sup>ydd</sup> Ebrill. Cadarnhaodd y Cynghorydd J. Thompson-Hill y byddai'n mynychu'r cyfarfod i ddarparu trosolwg ac i adrodd yn ôl i Aelodau.

***PENDERFYNWYD*** – yn unol â'r cynigion uchod, bod y Pwyllgor Llywodraethu Corfforaethol yn derbyn ac yn nodi cynnwys yr adroddiad.  
***(RW, SG, Cynghorwyr HHE a JTH i Weithredu)***

## **6 DIWEDDARIAD AR DDIOGELU CORFFORAETHOL**

### **Adroddiadau AGGCC:-**

Cyn ystyried yr Adroddiad Diogelu Corfforaethol, cadarnhaodd y Cyfarwyddwr Corfforaethol: Cymunedau mai'r weithdrefn a gytunwyd oedd i'r Pwyllgor Llywodraethu Corfforaethol dderbyn ac ystyried adroddiadau allanol. Eglurodd, oherwydd y cyfyngiadau o ran amser ac amserlennu cyfarfodydd, y bu rhaid cyflwyno adroddiad Gwerthusiad Perfformiad Blynyddol 2014/15 i gyfarfod ffurfiol o'r Cyngor i'w dderbyn erbyn dyddiad penodol. Bwriadwyd hefyd y byddai'r Rheolwr Ardal yn cyflwyno'r adroddiad cyn gadael ei swydd, sut bynnag, ni fu modd iddo fynychu cyfarfod y Pwyllgor Archwilio priodol.

Eglurodd y Cyfarwyddwr Corfforaethol Cymunedau y cyflwynwyd yr adroddiad i'r Pwyllgor Archwilio Perfformiad ar 10<sup>fed</sup> Rhagfyr, 2015, ac y bu'n destun trafodaeth drylwyr a heriol. Eglurodd bod Adroddiad yr AGGCC wedi ystyried Adroddiad Blynyddol Cyfarwyddwr Statudol y Gwasanaethau Cymdeithasol, fyddai'n cael ei gyflwyno hefyd i'r Pwyllgor Archwilio Perfformiad.

Rhoddyd gwybod i'r Aelodau bod yr adroddiad wedi ei archwilio'n drylwyr, a chadarnhawyd y byddai Adroddiadau AGGCC yn y dyfodol yn cael eu cyflwyno i'r



Pwyllgor Llywodraethu Corfforaethol mewn fformat newydd. Cytunodd y Cyfarwyddwr Corfforaethol Cymunedau y byddai'r fformat newydd sydd i'w fabwysiadu gan yr AGGCC yn cael ei gyfleu i'r Cadeirydd, a'i gyflwyno i'r Grŵp Cadeiryddion Archwilio a'r Is Gadeiryddion.

Cadarnhaodd y Cadeirydd bod cofnodion y Pwyllgor Archwilio Perfformiad wedi eu cylchredeg i Aelodau'r Pwyllgor Llywodraethu Corfforaethol, a chytunodd yr Aelodau y bu Adroddiad yr AGGCC yn destun trafodaeth drylwyr a heriol.

### **Yr Adroddiad Diogelu Corfforaethol:-**

Roedd adroddiad gan y Pennaeth Archwilio Mewnol, a oedd yn rhoi'r wybodaeth ddiweddaraf am y cynnydd wrth weithredu'r Cynllun Gweithredu sy'n cyd-fynd â'r adroddiad Archwilio Mewnol ar Ddiogelu Corfforaethol ym mis Awst 2015, wedi ei gylchredeg ymlaen llaw.

Roedd yr adroddiad hwn yn darparu gwybodaeth ar sut mae'r Cyngor yn gweithredu gwelliannau mewn diogelu corfforaethol ers cyhoeddi adroddiad Archwilio Mewnol yn 2015. Roedd yr adroddiad archwilio wedi rhoi 'Sicrwydd Isel', felly roedd y Pwyllgor Llywodraethu Corfforaethol wedi gofyn am adroddiad cynnydd i sicrhau bod y materion a amlygwyd yn derbyn sylw.

Roedd yr adroddiad dilynol i'r Archwiliad Mewnol, Atodiad 1, yn dangos bod cynnydd da wedi ei wneud wrth weithredu'r cynllun gweithredu. Roedd llywodraethu wedi ei wella ac mae gan y Panel Diogelu raglen waith fwy penodol fel y gellir blaenoriaethu ei waith a monitro perfformiad. Cadarnhawyd bod mwy o adnoddau pwrpasol yn cael eu defnyddio ar gyfer diogelu corfforaethol trwy gael Cadeirydd y Panel i gynyddu ei gyfraniad, gan gynnwys cyfarfodydd gyda chynrychiolwyr y Panel Gwasanaeth.

Roedd rhywfaint o waith yn dal i'w wneud i sicrhau bod aelodau o staff ac Aelodau Etholedig yn ymwybodol o'u cyfrifoldebau o ran diogelu corfforaethol, gan gynnwys ymgyrch hybu i lansio'r Polisi Diogelu Corfforaethol newydd. Yn ogystal, mae angen datblygu a rhoi ar waith y modiwl hyfforddiant corfforaethol a gynlluniwyd ac mae angen i bob Aelod Etholedig fynychu'r sesiynau hyfforddi diogelu corfforaethol gorfodol. O ystyried y cynnydd a wnaed gyda'r Cynllun Gweithredu, rydym wedi gwella ein graddfa sicrwydd i 'Canolig'.

Mynegodd y Cadeirydd y farn nad oedd y bwriad cychwynnol y byddai Diogelu Corfforaethol yn cael ei weithredu ar draws y Sir wedi ei weithredu'n llawn. Sut bynnag, roedd yn cydnabod, er bod sawl un o'r materion yn y Cynllun Gweithredu wedi cael sylw, bod materion yn dal i fod heb eu datrys. Eglurodd y Cynghorydd H.H. Evans bod Aelodau a swyddogion yn ymwybodol o'u cyfrifoldebau o ran Diogelu. Eglurodd y bu Cadeirydd y Panel yn gadarn o ran ei fwriadau o ran hyrwyddo cyflawni'r agenda Diogelu Corfforaethol, gyda'r lefel o drafod a herio wedi cynyddu. Rhoddodd y Cadeirydd wybod i'r Pwyllgor mai ei fwriad oedd mynychu cyfarfod nesaf y Panel fel arsyllwr.

Mynegodd Mr P. Whitham bryder bod amserlenni sy'n ymwneud â'r adroddiadau dilynol wedi llithro, gyda chyfeiriad arbennig at yr agweddau o ran hyrwyddo a

hyfforddiant. Roedd y Pwyllgor yn cefnogi awgrym Mr Whitham y dylid cyflwyno adroddiad cynnydd pellach i'r Pwyllgor ym mis Medi 2016.

Roedd y Cyfarwyddwr Corfforaethol: Cymunedau yn cydnabod nad oedd rhai o'r terfynau amser wedi eu cyflawni. Sut bynnag, eglurodd y byddai'r broses yn parhau gyda rhai agweddau'n mynd yn eu blaenau'n barhaol. Un o'r prif agweddau oedd codi ymwybyddiaeth ar draws y Cyngor. Byddai eitem busnes yn cael ei gyflwyno eto i gyfarfod Briffio'r Cyngor ym Mehefin 2016 o ran Diogelu Corfforaethol a byddai'r Aelodau'n cael eu hannog i fod yn bresennol.

Yn dilyn trafodaeth bellach:-

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

- (a) *yn derbyn ac yn nodi cynnwys yr adroddiad.*
  - (b) *yn cytuno y byddai adroddiad cynnydd yn cael ei gyflwyno i gyfarfod y Pwyllgor ym mis Medi 2016, ac*
  - (c) *yn gofyn am annog Aelodau i fynychu cyfarfod Briffio'r Cyngor i ystyried yr eitem ar Ddiogelu Corfforaethol.*
- (NS, IB i weithredu)**

## **7 GWYDNWCH ARIANNOL CYNGHORAU YNG NGHYMURU – Y WYBODAETH DDIWEDDARAF**

Roedd adroddiad gan y Prif Swyddog Cyllid wedi ei gylchredeg ymlaen llaw.

Rhodddwyd gwybod i'r aelodau bod Swyddfa Archwilio Cymru wedi cwblhau asesiad o 'gydnerthedd ariannol' y Cyngor yn dilyn astudiaeth genedlaethol a gyhoeddwyd yn 2015. Roedd yr adroddiad gan Archwilydd Cyffredinol Cymru o dan y teitl 'Asesiad Gwydnwch Ariannol Cyngor Sir Ddinbych' wedi ei gynnwys fel Atodiad i'r adroddiad.

Cwblhawyd yr asesiad yn ystod y cyfnod Mai i Hydref 2015, ac roedd yn dilyn i fyny materion a amlygwyd yn y gwaith ar sefyllfa ariannol 2014-15. Roedd ffocws y gwaith ar gyflwyno cynlluniau arbedion 2014-15, a'r cyfnod cynllunio ariannol 2015-16. Daeth yr adroddiad i'r casgliad bod gan y Cyngor drefniadau rheoli ariannol priodol ar waith.

Eglurodd y Prif Swyddog Cyllid bod yr adroddiad yn rhoi asesiad cadarnhaol o drefniadau ariannol y Cyngor. Roedd polisi'r Cyngor ar ffioedd a thaliadau wedi ei nodi yn y Rheoliadau Ariannol ac mae wedi ei gynnwys mewn rowndiau cyllideb blynyddol. Teimlwyd y byddai hyn yn cael ei wella fel rhan o broses 2017/18 a byddai cofrestrau adrannol yn cael eu cynnal.

Roedd Cynrychiolydd Swyddfa Archwilio Cymru (GB) wedi canolbwyntio ar un argymhelliad sef sefydlu polisi ffurfiol ar gynhyrchu incwm a chodi ffioedd ynghyd â chofreser o ffioedd a nodwyd gan adrannau, a byddai hyn yn cael sylw ym mhroses cyllidebu 2017/18. Rhodddwyd gwybod i'r Aelodau nad oedd gan Sir Ddinbych ymagwedd gorfforaethol tuag at gynhyrchu incwm, a theimlwyd y gall fod yn fanteisiol i Aelodau gael trafodaeth wleidyddol am y mater hwn, a chyfeiriwyd at yr ymagwedd sydd wedi ei mabwysiadu gan Gynghorau eraill. Cyfeiriodd

Cynrychiolydd Swyddfa Archwilio Cymru (AV) at y cyfyngiadau sydd wedi eu gorfodi ar Gynghorau yn nhermau cynhyrchu incwm a chyfeiriodd at y croes-gymhorthdal ar gyfer gwasanaethau. Amlygodd bwysigrwydd sicrhau cael gfael strategol ar y ffynhonnell incwm i'r Awdurdod ynghyd â'r hyblygrwydd sydd ar gael yn nhermau ei dosbarthu.

Eglurodd y Prif Swyddog Cyllid bod polisi ffurfiol y Cyngor o ran penderfyniadau yng nghyswllt adolygu ffioedd a thaliadau wedi eu datganoli i'r Penaethiaid Gwasanaeth priodol, a fyddai'n mynd ag unrhyw newidiadau arfaethedig drwy'r broses gyllidebu briodol. Cyfeiriodd y Prif Swyddog Cyllid at y terfynau a orfodwyd o ran y prif feysydd codi tâl.

Mewn ymateb i awgrymiadau gan Aelodau'r Pwyllgor o ran yr angen am bolisi troswaol ar gyfer cynhyrchu incwm, teimlodd y Cynghorydd J. Thompson-Hill bod angen hyblygrwydd. Amlinellodd y Pennaeth Gwasanaethau Cyfreithiol, Adnoddau Dynol a Democrataidd natur gymhleth y broses o osod ffioedd a thaliadau, ac amlygodd yr angen i ystyried effaith unrhyw benderfyniadau a wnaed ar fusnesau lleol a'r gymuned yn gyffredinol. Eglurodd y byddai'n bwysig cydymffurfio â gofynion a chyfyngiadau deddfwriaethol, ynghyd â'r angen i gyfiawnhau, mewn rhai amgylchiadau, mai dim ond costau oedd yn cael eu hadfer.

Yn ystod y drafodaeth ddilynol, eglurodd y Cadeirydd y byddai trafodaeth y Pwyllgor yn cael ei chynnwys yn y trafodaethau ynglŷn â'r gyllideb.

***PENDERFYNWYD*** – *bod y Pwyllgor Llywodraethu Corfforaethol yn derbyn yr adroddiad ac yn nodi'r argymhelliad gan Swyddfa Archwilio Cymru.*

## **8 RHEOLI RISG DEDDF LLESIANT CENEDLAETHAU'R DYFODOL**

Roedd adroddiad gan y Pennaeth Busnes, Cynllunio a Pherfformiad, oedd yn egluro'r newidiadau a fynnir yn y modd y mae'r Cyngor yn rheoli risg o ran Deddf Llesiant Cenedlaethau'r Dyfodol, wedi ei gylchredeg ymlaen llaw.

Darparodd y Pennaeth Busnes, Cynllunio a Pherfformiad grynodedb manwl o'r adroddiad. Eglurodd er mwyn cydymffurfio â'r Deddf Llesiant Cenedlaethau'r Dyfodol mae angen i'r Cyngor adolygu'r ffordd y mae'n rheoli risg, ac roedd yr adroddiad yn archwilio rhai o'r materion mae'r newid hwn yn eu codi ar gyfer y Cyngor, ac yn ystyried ei effaith bosibl ar y Gofrestr Risg Gorfforaethol.

Roedd Ddeddf Llesiant Cenedlaethau'r Dyfodol yn cynnwys newidiadau pellgyrhaeddol i'r ffordd y mae'n ofynnol i'r Cyngor gynnal ei fusnes, a byddai angen iddo yn y dyfodol ddangos sut y mae'n cyfrannu at y saith nod trwy gyhoeddi amcanion Lles blynyddol. Yn fwy sylfaenol fyddai'r disgwyliad y byddai'r Cyngor yn newid y ffordd y mae'n gwneud penderfyniadau trwy gymryd i ystyriaeth y pum Egwyddor Datblygu Cynaliadwy: Hirdymor, Atal, Integreiddio, Cydweithredu, Cynnwys.

Rhoddodd y Pennaeth Busnes, Cynllunio a Pherfformiad grynodedb o bob un o'r pum Egwyddor Datblygu Cynaliadwy a gynhwyswyd yn yr adroddiad. Cyfeiriwyd at yr her o ran rheoli risg, gyda risgiau'n cael eu rhannu'n rhai 'gweithredol' tymor byr

a rhai 'strategol' hirdymor. Roedd manylion yn ymwneud â rheoli risgiau penodol, ynghyd â'r camau lliniarol a'r opsiynau a weithredwyd i liniaru'r risgiau cymhleth, wedi eu hamlinellu yn yr adroddiad.

Rhodddwyd cadarnhad gan y Pennaeth Busnes, Cynllunio a Pherfformiad bod y Cyngor yn hyderus bod eu proses risg weithredol gyfredol yn addas i'r diben. Sut bynnag, y dasg fwy fyddai dechrau datblygu'r offerynnau a'r technegau a fyddai'n helpu i fodelu'r broses yn y dyfodol yn well.

Roedd y Cyngor yn gweithio gydag Awdurdodau partner i ddatblygu dull o asesu effaith, ac roeddynt hefyd yn treialu gwaith gwydnwch yn y gymuned y bwriedir iddo hybu meddwl hirdymor ac ymgysylltiad adeiladol mewn perthynas â phroblemau a rennir. Rhodddwyd gwybod i'r Aelodau y byddai gwaith pellach yn cael ei ddatblygu wrth ddechrau defnyddio'r pum Egwyddor Datblygu Cynaliadwy.

Mynegwyd pryder gan y Cynghorydd S.A. Davies bod y Ddeddf wedi ei gweithredu a'i phenderfynu gan Lywodraeth Cymru. Cwestiynodd ei ffiniau, ei dulliau a lefel yr ymgysylltiad â'r cyhoedd ynghyd â'r disgwyliadau o'r Ddeddf. Eglurodd y Pennaeth Busnes, Cynllunio a Pherfformiad bod sawl agwedd a gofynion y Ddeddf yn cael sylw gan y Cyngor ar hyn o bryd, a bod Aelodau Etholedig eisoes yn ymgysylltu â'r gymuned leol a'r cyhoedd yn gyffredinol. Cyfeiriodd at bwysigrwydd archwilio dulliau o gryfhau'r gymuned, ynghyd ag archwilio ymagweddau eraill o ran gwneud penderfyniadau, gyda golwg ar sicrhau lefel o welliant ar gyfer cenedlaethau i'r dyfodol.

Eglurodd y Cynghorydd H.H. Evans ei bod yn anochel y byddai'r Ddeddf yn cael ei chyflwyno ac y byddai'n bwysig canfod lefel y pwyslais y dylid ei roi ar ei datblygu. Cyfeiriodd at sawl maes y byddid yn cael eu dylanwadu gan y Ddeddf, gyda chyfeiriad penodol at Addysg a Diogelu, ac amlygodd yr angen i wneud y gorau o'r agweddau cadarnhaol sydd wedi eu hymgorffori yn y Ddeddf. Mynegodd y farn na fyddai ymgysylltu'n tanseilio rôl Aelodau ac mai Cynllun Corfforaethol y Cyngor fyddai'r dylanwad fyddai'n gyrru pethau yn eu blaenau ar gyfer yr Awdurdod, gan ystyried egwyddorion arweiniol y nodau o fewn y Ddeddf.

Cytunodd y Cadeirydd â'r barnau a fynegwyd gan gynrychiolydd Swyddfa Archwilio Cymru o ran yr angen i edrych ar y darlun ehangach a'r angen am newid meddylfryd, wrth beidio â chael ein gyrru gan fiwrocratiaeth. Mewn ymateb i gwestiwn gany Pwyllgor, eglurwyd, os oedd y Cyngor yn anwybyddu neu'n methu â mynd i'r afael â gofynion y Ddeddf, yna gallant fod yn agored i'w herio yn y dyfodol. Eglurodd y Pennaeth Gwasanaethau Cyfreithiol, Adnoddau Dynol a Democraidaidd bod y Ddeddf yn cyfeirio at weithredu neu gymryd camau rhesymol, ac os ystyriwyd bod camau gweithredu cyfiawn wedi eu cymryd, yna ni fyddai achos i weithredu.

Roedd y Cynghorydd P.C. Duffy wedi amlygu pwysigrwydd cynllunio ymlaen er budd cenedlaethau'r dyfodol, ynghyd ag asesu unrhyw risgiau cysylltiedig, a mynegodd y farn y gallai cyflwyno rhagor o astudiaethau peilot fod yn fanteisiol.

Cyfeiriodd y Cynghorydd H.H. Evans at y buddion posibl y gellid eu cyflawni drwy fonitro gweithredu gan gyrff a sefydliadau eraill ynghyd ag asesu lefel yr ymrwymiad. Awgrymodd y dylid defnyddio'r Ddeddf fel cyfrwng i wella darpariaeth

gwasanaeth gydag adnoddau cyfyngedig, ac y dylid ymgorffori'r Ddeddf o fewn y broses benderfynu.

Yn ystod y drafodaeth ddilynol, cyfeiriwyd at dreialu gwaith o ran gwydnwch yn y gymuned gyda'r bwriad o feddwl am broblemau a rennir o safbwynt hirdymor ynghyd â mynd ati i ymgysylltu mewn modd adeiladol (People to People yn Llangollen). Eglurwyd yr ymgwymerwyd â'r cynllun yn Llangollen a bu'r ymateb yn gadarnhaol iawn. Mewn ymateb i gais i swyddogion, cytunwyd y dylid cyfleu canlyniad y prosiect i'r Cadeirydd ac yna ei anfon ymlaen i Aelodau'r Pwyllgor.

**PENDERFYNWYD** – *derbyn a nodi'r adroddiad.*  
(*AS i Weithredu*)

## **9 ADRODDIAD BLYNYDDOL Y PWYLLGOR LLYWODRAETHU CORFFORAETHOL**

Darparodd y Cadeirydd adroddiad llafar ar Adroddiad Blynyddol y Pwyllgor Llywodraethu Corfforaethol. Eglurodd bod Cylch Gorchwyl y Pwyllgor wedi ei ddiffinio yng Nghyfansoddiad y Cyngor, a bod ganddo'r rôl o sicrhau bod gan Sir Ddinbych fframwaith llywodraethu cadarn oedd yn addas i'r diben.

Roedd manylion y meysydd gwaith a ganlyn, yr ymgwymerwyd â hwy gan y Pwyllgor yn ystod y deuddeng mis diwethaf, yn cynnwys:-

Prif Feysydd:-

- Rôl archwilio oedd yn cynnwys craffu ar adroddiadau archwilio mewnol, ystyried canfyddiadau adroddiadau archwilio allanol ynghyd â derbyn a chymryd trosolwg o adroddiadau Swyddfa Archwilio Cymru.
- Rheoli Risg Corfforaethol, canfod ac adolygu risgiau a sicrhau bod System Rheoli Risg yr Awdurdod ynghyd â'i Strategaeth Rheoli Gwybodaeth yn gadarn.
- Rôl Ariannol oedd yn cynnwys goruchwyllo Rheolaeth Gyllidol y Cyngor, Proses y Gyllideb, Datganiad y Cyfrifon, Rheoli'r Trysorlys a Dangosyddion Darbodus.
- Rheoli Gwybodaeth a materion o ran Diogelu Data.
- Newidiadau i'r Cyfansoddiad a'r rhaglen Gaffael.
- Datganiadau Llywodraethu Blynyddol a Chwynion ac adborth.

Meysydd Gwaith eraill:-

- Monitro gwasanaethau cyhoeddus a ariennir gan y Cyngor.
- Taliad Ariannol i Rai Sy'n Gadael Gofal.
- Adroddiad Gwella Blynyddol a'r goblygiadau i Bolisi Tai y Cyngor.
- Diwygio'r Llywodraeth a materion o ran Llesiant.
- Materion Diogelu Corfforaethol.
- Datganiad y Cyfrifon a'r Adroddiad Archwilio a gyflwynir gyda lefel uchel o sicrwydd.
- Derbyn Adroddiad Rheoli'r Trysorlys, trosolwg o fuddsoddiad a gweithgaredd.
- Negydu strategaeth ymadael y PFI mewn perthynas â Neuadd y Sir, Rhuthun.

- Y cyfansoddiad a gwaith parhaus mewn perthynas â'r Cynllun Dirprwyo.
- Ymgynghoriad y Llywodraeth ar Geisiadau Rhyddid Gwybodaeth.
- Diweddarau'r codau a'r protocol o ran cysylltiadau rhwng Aelodau a swyddogion.
- Goruchwyllo materion Diogelu a nodi tueddiadau.
- Cyllid ysgolion a chefnogaeth i Gyrrff Llywodraethu Ysgolion.
- Effaith y Pwyllgor Addysg a Gwasanaethau Plant.
- Cynorthwyo i sicrhau bod y Cyngor yn cyflawni ei Flaenoriaethau Corfforaethol.
- Darparu trosolwg o amryw bolisiau'r Cyngor fel y Polisiau Rhannu Pryderon a Thwyll a Llygredd.
- Ymateb i adroddiadau yn y cyfryngau a mynd i'r afael â hwy.
- Mynd i'r afael ag amryw faterion penodol fel y maent yn codi.
- Gwaith yn ymwneud ag amddiffynfeydd arfordirol.

Diolchodd y Cadeirydd i'r Tîm Archwilio Mewnol a Swyddogion Swyddfa Archwilio Cymru am y gwaith a wnaed ganddynt a'r cymorth a ddarparwyd i'r Pwyllgor. Yn ogystal, darparodd gadarnhad y byddai Adroddiad Blynyddol ysgrifenedig ar gyfer y Pwyllgor Llywodraethu Corfforaethol yn cael ei cyflwyno i gyfarfod y Cyngor Sir ym Mai 2016.

**PENDERFYNWYD** – *bod:-*

*(a) Y Pwyllgor Llywodraethu Corfforaethol yn derbyn ac yn nodi Adroddiad Blynyddol y Pwyllgor Llywodraethu Corfforaethol, ynghyd ag*

*(b) adroddiad a oedd yn manylu ynghylch y gwaith a wnaed gan y Pwyllgor yn cael ei gyflwyno i'r Cyngor Sir ym Mai 2016.*

**(JM (Cadeirydd) i Weithredu)**

## **10 ADRODDIAD DIWEDDARU RHEOLI'R FFLYD GORFFORAETHOL**

Roedd adroddiad gan y Pennaeth Archwilio Mewnol, oedd yn rhoi'r wybodaeth ddiweddaraf am y cynnydd wrth weithredu'r cynllun gweithredu sy'n cyd-fynd â'r Adroddiad Archwilio Mewnol ar Reoli'r Fflyd Gorfforaethol ym mis Hydref 2015, wedi ei gylchredeg ymlaen llaw.

Cyflwynodd y Pennaeth Archwilio Mewnol yr adroddiad oedd yn darparu gwybodaeth am sut mae'r Cyngor yn gweithredu gwelliannau o ran rheoli'r fflyd ers cyhoeddi'r adroddiad Archwilio Mewnol yn 2015. Mewn ymateb i'r ffaith fod yr Adroddiad Archwilio Mewnol wedi rhoi 'Sicrwydd Isel', roedd y Pwyllgor Llywodraethu Corfforaethol wedi gofyn am adroddiad cynnydd i sicrhau bod y materion yn cael sylw.

Roedd cynllun gweithredu dilynol Archwilio Mewnol, Atodiad 1, yn dangos bod cynnydd da yn cael ei wneud gyda gweithredu'r materion a'r risgiau a nodwyd gan Archwilio Mewnol. Gan mai dim ond archwiliad dilynol interim oedd hwn, byddid yn parhau i fonitro cynnydd a byddid yn cyhoeddi adroddiad dilynol ffurfiol gyda sgôr sicrwydd newydd.

Er bod rhai camau gweithredu sy'n weddill yn dal i fod, mae'r prif faterion eisoes wedi cael sylw, megis datblygu Polisi Cludiant newydd y mae angen ei gymeradwyo a'i gyhoeddi bellach. Mae materion iechyd a diogelwch hefyd wedi cael sylw trwy wella gweithdrefnau sefydlu, adolygu adrodd am ddiwyddiadau a gwella prosesau trwyddedau gyrwyr.

Cyfeiriodd Mr P. Whitham at gynnydd o ran y meysydd a amlygwyd fel rhai oren a melyn, a gofynnodd am gael cyflwyno adroddiad cynnydd i'r Pwyllgor ym mis Medi 2016. Mewn ymateb i bryderon a godwyd gan Mr Whitham mewn perthynas â datgan unrhyw salwch nau anomaleddau o ran trwyddedau gyrru, eglurodd y Pennaeth Archwilio Mewnol bod y meysydd hyn wedi eu cynnwys a'u datrys yn dilyn llunio Ffurflenni Apwyntiad newydd.

Mewn ymateb i bryderon a godwyd mewn perthynas â defnyddio ffonau symudol gan weithwyr wrth yrru, eglurodd y Pennaeth Archwilio Mewnol bod hyn yn groes i'r gyfraith ac y gallai fod yn fater disgyblu.

**PENDERFYNWYD** – bod:-

- (a) yr adroddiad yn cael ei dderbyn a bod y sefyllfa'n cael ei nodi, a
- (b) bydd adroddiad cynnydd pellach yn cael ei gyflwyno i gyfarfod y Pwyllgor ym mis Medi 2016.

**(IB i Weithredu)**

## **11 RHEOLAETH ARIANNOL YSGOLION - Y WYBODAETH DDIWEDDARAF**

Darparwyd adroddiad llafar ar drefniadau rheolaeth ariannol ysgolion gan y Pennaeth Archwilio Mewnol, y Rheolwr Cynllunio ac Adnoddau Addysg a'r Rheolwr Cyllid Ysgolion.

Cyfeiriodd y Pennaeth Archwilio Mewnol at drafodaethau yn y cyfarfod blaenorol mewn perthynas â'r Cynllun Adfer Ariannol ar gyfer Ysgol Mair, Rhyl, ynghyd â phryderon a chwestiynau a godwyd gan Aelodau mewn perthynas â threfniadau a phrosesau Rheolaeth Ariannol Ysgolion, a rôl Rheolwyr Busnes a Chyllid Ysgolion. Mynegodd y Cadeirydd bryder nad oedd ysgolion oedd wedi profi anawsterau ariannol wedi cael Ymgynghorydd Ariannol ar gyfer Ysgolion, a cheisiwyd eglurhad ynghylch y ddarpariaeth o gyngor ac arweiniad ariannol sydd ar gael i ysgolion ynghyd â manylion y prosesau sydd yn eu lle i ddarparu cymorth.

Amlinellodd y Rheolwr Cynllunio ac Adnoddau Addysg y broses mewn ysgolion clwstwr, yr oedd gan addynt Reolwr Busnes a Chyllid ym mhob un o'r Ysgolion Uwchradd sydd wedyn yn darparu cymorth i'w hysgolion bwydo priodol. Cyfeiriodd at Gymdeithas Llywodraeth Leol Cymru ac eglurodd yr ystyriwyd bod y broses a fabwysiadwyd yn Sir Ddinbych yn enghraifft dda, a'i bod yn cael ei gweld fel model ar gyfer Cymru yn nhermau y gweithdrefnau a'r prosesau a fabwysiadwyd. Cyfeiriwyd at yr heriau sy'n cael eu wynebu gan ysgolion i'r dyfodol oedd yn profi pwysau ariannol cynyddol.

Cadarnhawyd y byddai'r Rheolwr Cyllid Ysgolion yn ymweld ag ysgolion sy'n cael anawsterau i ddarparu cymorth a chyngor, ac y byddai'r cymorth a'r help o'r clwstwr yn cynorthwyo i fynd i'r afael â phroblemau. Eglurodd Mr P. Whitham y nodwyd na fu Ysgol Mair, y Rhyl, yn rhan o Glwstwr y Rhyl.

Mewn ymateb i bryder a godwyd gan y Cynghorydd S.A. Davies ynghylch y newidiadau mewn amcanestyniadau, darparodd y Rheolwr Cyllid Ysgolion gadarnhad y gallai prosiectau newid ar fyr rybudd am sawl rheswm ac amlygodd yr anawsterau a wynebwr o ran rhagweld a mynd i'r afael â'r amcanestyniadau. Yn ogystal, awgrymodd y Cynghorydd Davies y gellid cysylltu â'r Esgobaeth gyda gylwg ar geisio cynnydd yn lefel y gefnogaeth a'r cymorth ariannol ar gyfer eu hysgolion priodol.

Cyfeiriodd y Cyfarwyddwr Corfforaethol: Cymunedau at y Darpariaethau Statudol yr oedd yn ofynnol i ysgolion eu cyflawni oedd yn cyfrannu at yr anawsterau a wynebwr wrth rhagweld amcanestyniadau, gyda chyfeiriad arbennig at y cymarebau athro i ddisgybl, materion iechyd a diogelwch a ffigurau derbyn.

Rhoddodd y Prif Gyfrifydd wybod i'r Aelodau bod ffigurau mewn perthynas â demograffi wedi eu hymgorffori yn y broses, a darparodd fanylion goblygiadau effaith Cronfa Bensiwn yr Athrawon ar y gyllideb ysgolion.

Mewn ymateb i bryderon a godwyd gan y Cynghorydd P.C. Duffy ynghylch lefel y gefnogaeth a ddarperir i Ysgol Mair, eglurodd y Cyfarwyddwr Corfforaethol Cymunedau y gwahoddiwyd y swyddogion i fynychu'r cyfarfod blaenorol gan y gellid fod wedi darparu rhagolwg manylach o'r amgylchiadau. Cadarnhaodd bod cymorth a chefnogaeth, a ddarperir gan dîm rhagweithiol ac ymroddedig iawn, ar gael i bob ysgol, ac na dderbyniwyd unrhyw gwynion ynghylch lefel neu ansawdd y gefnogaeth a'r cymorth a ddarparwyd. Cefnogodd yr Aelodau'r farn a fynegwyd gan y Cadeirydd sef, yn achos bod unrhyw achosion tebyg yn cael eu cyflwyno gerbron y Pwyllgor am ystyriaeth, byddai'r swyddogion priodol yn cael eu gwahoddi i fynychu. Cadarnhaodd y Rheolwr Cynllunio ac Adnoddau Addysg bod cefnogaeth a chymorth ar gael i Ysgol Mair, a rhoddodd fanylion y materion a'r problemau a brofwyd yn yr ysgol.

Mewn ymateb i gwestiynau gan Aelodau ynghylch y mecanweithiau a roddwyd ar waith i wella'r broses amcanestyniadau, eglurodd y Prif Gyfrifydd, er mai'r cynnig oedd i anrhydeddu amddiffyniad ar gyfer Cyllidebau Dirprwyedig Ysgolion, rhagwelwyd y gallai nifer yr ysgolion oedd yn profi anawsterau gynyddu oherwydd pwysau chwyddiant a'r gostyngiad ym malansau ysgolion dros flynyddoedd diweddar, sydd wedi lleihau'r lefel o hyblygrwydd.

Yn ystod y drafodaeth ddilynol, cadarnhaodd y Cadeirydd y byddai adroddiad cynnydd o ran Ysgol Mair yn cael ei gyflwyno i'r Pwyllgor ym mis Medi 2016, a chytunwyd y byddai'r swyddogion priodol yn cael eu gwahoddi i fod yn bresennol.

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



- (a) *bod yr adroddiad yn cael ei dderbyn a'i nodi.*
  - (b) *i wahodd swyddogion i fynychu cyfarfod y Pwyllgor ym mis Medi 2016 i ystyried yr adroddiad cynnydd mewn perthynas ag Ysgol Mair, y Rhyl ac*
  - (c) *yn achos cyflwyno unrhyw achosion tebyg gerbron y Pwyllgor ar gyfer eu hystyried, y byddai'r swyddogion priodol yn cael eu gwahodd i fod yn bresennol.*
- (IL, CJ, IB i Weithredu)**

## **12 POLISI RHANNU PRYDERON**

Roedd adroddiad gan y Rheolwr Gwasanaethau Adnoddau Dynol, ar y Polisi Rhannu Pryderon oedd wedi ei ddiwygio, ei ddiweddarau a'i adolygu yn unol â deddfwriaeth, wedi ei gylchredeg ymlaen llaw.

Cyflwynodd y Pennaeth Gwasanaethau Cyfreithiol, Adnoddau Dynol a Democrataidd yr adroddiad oedd yn ceisio cael cytundeb y Pwyllgor i argymhell y polisi hwn i'r Cyngor i'w fabwysiadu. Roedd y Polisi'n rhoi sicrwydd i staff y gallant godi materion o bryder heb ofni eu cosbi, ac roedd yn darparu system rhybudd buan a allai ganfod problem bosibl.

Roedd y polisi wedi cael ei ddiweddarau a'i ailfformatio i gynnwys rolau a chyfrifoldebau cliriach a'r newidiadau deddfwriaethol. Daeth y Ddeddf Menter a Diwygio Rheoleiddio (2013) â nifer o newidiadau fyddai'n effeithio ar rannu pryderon. Roedd y tri newid allweddol yn cynnwys:-

- i) Dim ond datgeliadau a wnaed 'er budd y cyhoedd' sy'n cael eu gwarchod. Erbyn hyn mae'n rhaid i weithwyr ddangos eu bod 'yn rhesymol gredu' bod y datgeliad maent yn ei wneud 'er lles y cyhoedd'.
- ii) Cael gwared ar y gofyniad i ddatgeliadau gael eu gwneud yn 'ddidwyll' er mwyn eu diogelu.
- iii) Gwneud cyflogwyr yn atebol am weithredoedd y gweithwyr (megis aflonyddu ar gydweithwyr sydd wedi codi pryder) a gwneud gweithwyr yn atebol yn bersonol. Roedd copi o'r Adroddiad wedi ei gynnwys fel Atodiad 1 i'r adroddiad.

Rhodddwyd gwybod i'r Aelodau bod y polisiâu i gyd wedi bod i'r Cyd Gyfarfod Corfforaethol am sylwadau ac i'r CGC am adborth. Cadarnhawyd nad oedd risgiau ond yn gysylltiedig â pheidio â gweithredu'r Polisi. Mae'r fersiynau presennol o'r Polisi wedi dyddio'n fawr iawn o ran deddfwriaeth a rhaid i ni sicrhau bod y Polisi'n cael ei weithredu'n gywir ac yn gyson.

Cyfeiriodd Mr P. Whitham at Dudalen 111 ac awgrymodd y dylai'r geiriau "o fewn" yn y frawddeg "rhywbeth o'i le o fewn y Cyngor" gael eu haileirio gan y gallai mater fod ynghylch y Cyngor neu y gellid ei adnabod gan rywun, fel contractwr, nad yw'n cael ei gyflogi'n uniongyrchol gan y Cyngor. Cadarnhawyd y byddai'r Polisi'n berthnasol i'r holl aelodau staff, ac y gellid ei fabwysiadu gan ysgolion pe dymument wneud hynny.

Mewn ymateb i fater a amlygwyd gan gynrychiolydd Swyddfa Archwilio Cymru ynghylch yr anawsterau posibl y gellid eu canfod mewn perthynas â chyfrinachedd, darparodd y Pennaeth Gwasanaethau Cyfreithiol, Adnoddau Dynol a Democrataidd amllinelliad o lefel y manylion y gellid eu darparu mewn perthynas â datgelu

gwybodaeth. Mewn ymateb i ymholiad gan y Cadeirydd ynghylch elfen lles y cyhoedd o'r Ddeddf, eglurodd y Pennaeth Gwasanaethau Cyfreithiol, Adnoddau Dynol a Democrataidd bod y Polisi'n nodi'n fanwl sut y byddai'r elfen amddiffyn yn cael ei gweithredu o ran datgeliadau.

**PENDERFYNWYD** – bod y Pwyllgor Llywodraethu Corfforaethol yn argymhell i'r Cyngor gymeradwyo'r polisi uchod.  
**(GW, AM i Weithredu)**

### 13 CYNLLUN ARCHWILIO 2016 - CYNGOR SIR DDINBYCH

Roedd adroddiad gan y Prif Swyddog Cyllid wedi ei gylchredeg ymlaen llaw, ynghyd â chopi o lythyr gan Archwilydd Cyffredinol Cymru i Brif Weithredwr y Cyngor Sir.

Cyflwynodd cynrychiolwyr Swyddfa Archwilio Cymru (AV a GB) yr adroddiad oedd yn ymgorffori 'Cynllun Archwilio 2016 - Cyngor Sir Ddinbych'. Roedd yr adroddiad yn egluro'r rhaglen waith sydd wedi ei chynllunio ar gyfer dwy raglen archwilio perfformiad ac archwilio ariannol Swyddfa Archwilio Cymru, ac yn rhoi manylion y ffi ar gyfer y gwaith, manylion o safbwynt y tîm archwilio a'r amserlen ar gyfer y gwaith. Byddai'n ofynnol i'r archwilydd allanol baratoi a chyflwyno'r adroddiad hwn er mwyn cyflawni eu gofynion o dan safonau archwilio ac arferion archwilio priodol.

Roedd yr adroddiad yn rhoi amlinelliad i'r Cyngor o raglen waith yr archwiliad ariannol a'r archwiliad o berfformiad. Roedd y rhaglen archwilio ariannol yn ymwneud â'u gwaith o safbwynt datganiadau ariannol 2015-16. Roedd hefyd yn darparu gwybodaeth am y dull archwilio, gan gynnwys y risgiau archwilio allweddol sydd wedi eu nodi yn ystod y broses gynllunio gychwynnol a'r camau bwriedig i fynd i'r afael â hwy. Byddai'r gwaith archwilio ariannol ar y meysydd risg hyn yn cael ei ddefnyddio i lywio barn archwilio ar y datganiadau ariannol.

Roedd y rhaglen waith archwiliad o berfformiad yn ymwneud â'u gwaith o safbwynt 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.

Darparwyd crynodeb o gynnwys Cynllun Archwilio 2016 – Cyngor Sir Ddinbych, oedd yn cynnwys:-

- Archwiliad Ariannol.
- Ardystio hawliadau a ffurflenni grant.
- Gwaith arall a gyflawnir.
- Archwilio perfformiad.
- Y ffi, y tîm archwilio a'r amserlen.
- Yr amserlen.
- Datblygiadau o ran y gwaith archwilio yn y dyfodol.

Atodiad 1:- Prif gyfrifoldebau.

Atodiad 2:- Gwaith perfformiad sydd yn dal ar y gweill o amlinelliad archwilio'r llynedd.

Atodiad 3:- Astudiaethau gwerth am arian cenedlaethol.

Darparwyd crynodeb o'r llythyr gan Archwilydd Cyffredinol Cymru, rhaglen astudiaethau Llywodraeth Lleol a rhaglen archwilio perfformiad 2016/17, ar gyfer y Pwyllgor. Eglurwyd, o ganlyniad i ymgynghori, roedd y cynllunio o ran yr archwiliad mewn perthynas â'r agwedd berfformiad wedi bod yn amwys. Rhoddwyd gwybod i'r Aelodau bod y llythyr yn nodi'n fanwl y cynlluniau ar gyfer y flwyddyn i ddod, gyda chyfeiriad arbennig at y tair astudiaeth llywodraeth leol oedd wedi eu gwneud ar draws Cymru, ynghyd â'r newid ymagwedd tuag at y gwaith a gyflawnwyd mewn Cynghorau o ganlyniad i dynnu swm sylweddol o'r cyllid grant WPI yn ôl.

Darparwyd manylion y rhaglen waith arfaethedig ar gyfer y flwyddyn i ddod a thynnwyd sylw at y pwyntiau mwyaf amlwg a ganlyn o fewn y llythyr:-

- Manylion yr astudiaethau arfaethedig.
- Y tri adolygiad thematig oedd yn cynnwys Gwydnwch Ariannol, Llywodraethu a Thrawsnewid.
- Gwaith mewn perthynas â chynnal Asesiad Corfforaethol ar sail ymagwedd risg fel rhan o'r Adolygiad Llywodraethu.

Mewn ymateb i gwestiwn gan y Cynghorydd S.A. Davies, amlinellodd cynrychiolydd Swyddfa Archwilio Cymru (GB) y byddai'r ymagwedd wahanol oedd i'w mabwysiadu gyda chyflwyno tri adroddiad ar wahân wedi codi o ganlyniad i gynnig LIC i ddiddymu'r Mesur Llywodraeth Leol oedd yn gorfodi cyfyngiadau penodol.

Yn ystod y drafodaeth ddilynol, diolchodd y Cadeirydd i gynrychiolwyr Swyddfa Archwilio Cymru am yr adroddiad, a:-

***PENDERFYNWYD*** – *bod y Pwyllgor yn derbyn ac yn nodi cynnwys adroddiad Swyddfa Archwilio Cymru.*

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

Roedd Rhaglen Gwaith i'r Dyfodol y Pwyllgor Llywodraethu Corfforaethol (a gylchredwyd yn flaenorol) wedi ei chyflwyno ar gyfer ei hystyried.

Cadarnhaodd y Pwyllgor Rhaglen Gwaith i'r Dyfodol y Pwyllgor Llywodraethu Corfforaethol, yn amodol ar gynnwys yr adroddiadau a ganlyn:-

27<sup>ain</sup> Ebrill, 2016:-.

- Dylid newid yr "Amlinelliad o Gyfrifon Archwilio Ariannol Blynyddol a Hysbysiad o Ardystiad o Gyfrifon" i'r "Archwiliad Ardystio Grant".
- Dylai'r "Adroddiad Gwelliant Blynyddol Swyddfa Archwilio Cymru – Y Wybodaeth Ddiweddaraf 2015/16" fod yn adroddiad terfynol ac nid yn ddiweddariad.

15<sup>fed</sup> Mehefin, 2016:-

- Dylai Adroddiad Hunanwerthuso'r Pwyllgor Llywodraethu Corfforaethol gael ei gynnwys yn y Rhaglen Gwaith i'r Dyfodol ar gyfer Mehefin 2016.

13<sup>eg</sup> Gorffennaf, 2016:-

- Dylid cynnwys yr Adroddiad Blynyddol ar Rannu Pryderon yn y Rhaglen Gwaith i'r Dyfodol ar gyfer Gorffennaf 2016.

- Aildrefnu "Adroddiad Gwella Blynyddol Swyddfa Archwilio Cymru – Y Wybodaeth Ddiweddaraf 2015/16" ar gyfer Ebrill 2016.

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

***(CIW i Weithredu)***

Daeth y cyfarfod i ben am 13.20 p.m.

**Adroddiad i'r:** Pwyllgor Llywodraethu Corfforaethol  
**Dyddiad y Cyfarfod:** 27 Ebrill, 2016  
**Aelod / Swyddog Arweiniol:** Nicola Stubbins  
**Awdur yr Adroddiad:** Steph O'Donnell  
**Teitl:** **Uno gwasanaethau Addysg a Phlant**

## 1. Am beth mae'r adroddiad yn sôn?

Gofynnir i'r Pwyllgor Llywodraethu Corfforaethol nodi'r adroddiad Prawf Sicrwydd sy'n amgaeedig. Mae'r adroddiad hwn yn cyflwyno canfyddiadau o'r Prawf Sicrwydd ar gyfer uno Gwasanaeth Addysg a Gwasanaethau Plant a Theuluoedd yng Nghyngor Sir Ddinbych. Mae'r ddau wasanaeth wedi bod yn gweithredu fel un gwasanaeth, gwasanaethau Addysg a Phlant, ers Ionawr 2016.

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

Mae'r adroddiad yn cael ei gyflwyno i'r Pwyllgor Llywodraethu Corfforaethol er gwybodaeth ac i gynnig sicrwydd bod y broses o drosglwyddo i'r gwasanaeth newydd wedi ei rheoli'n dda a risgiau wedi'u lliniaru.

## 3. Beth yw'r Argymhellion?

Argymhellir bod prawf dilynol yn cael ei gwblhau gydag adborth cryno i'r cyfarfod Llywodraethu corfforaethol cyn diwedd 2016/17.

## 4. Manylion yr Adroddiad

### 4.1 Cefndir

Ym mis Medi 2014, datganodd y Prif Swyddog Gweithredol newidiadau arfaethedig i strwythur sefydliad y Cyngor, gan gynnwys dwyn ynghyd y Gwasanaeth Addysg a'r Gwasanaethau Plant a Theuluoedd i greu gwasanaeth newydd, Gwasanaethau Addysg a Phlant. Mae hyn wedi bod yn orfodol yn Lloegr ers dros ddegawd ac mae'n fwyfwy cyffredin yng Nghymru.

Cytunwyd datblygu Prawf Sicrwydd a'i gynnal fel rhan o'r broses o drosglwyddo i'r strwythur sefydliad newydd. Mae'r Prawf yn anelu at ddarparu sicrwydd y bydd dyletswyddau statudol y Cyngor tuag at blant a phobl ifanc yn cael eu cynnal a'u cryfhau drwy'r strwythur sefydliad newydd. Bydd ailadrodd y Prawf Sicrwydd yn cynnig sicrwydd dros gyfnod o amser bod y gwasanaeth newydd yn cydymffurfio â'r atebolrwydd statudol.

### 4.2 Cwmpas y Prawf Sicrwydd

Dangosodd y Prawf Sicrwydd:

- ✓ bod Cyfarwyddwr Gwasanaethau Plant a'r Cyfarwyddwr Addysg yn cyflawni dyletswyddau statudol
- ✓ penderfyniadau dirprwyedig ac unrhyw risgiau cysylltiedig a sut bydd y rhain yn cael eu rheoli
- ✓ cryfderau a meysydd i ganolbwyntio arnynt yn y dyfodol ar gyfer y gwasanaeth newydd, o ran bodloni a rhagori ar ddyletswyddau statudol, a gwneud y mwyaf o botensial tîm Addysg a Phlant cyfunol.
- ✓ mewnbwn i adolygiad parhaus y Gwasanaethau Cyfreithiol a Democrataidd o gyfansoddiad y Cyngor, yn benodol o amgylch atebolrwydd dirprwyedig swyddogion allweddol.

Mae'r offerynnau statudol allweddol sydd wedi llywio datblygiad y Prawf Sicrwydd wedi'u rhestr yn y Prawf Sicrwydd sy'n amgaeedig (ATODIAD A).

### 4.3 Dull

Roedd y Prawf Sicrwydd yn cynnwys y canlynol:

- Adolygiad pen-desg a dogfennaeth o bob atebolrwydd statudol
- Proses o gyfweiliadau strwythuredig gydag uwch reolwyr Gwasanaethau Addysg a Phlant a Theuluoedd a'r Cyfarwyddwr, Cymunedau
- Adolygiad o gyfarfodydd a fynychwyd gan aelodau'r ddau dîm rheoli
- Adolygiad o'r penderfyniadau dirprwyedig ar gyfer y ddau dîm rheoli
- Ymgynghori parhaus gyda staff yn gysylltiedig â newidiadau sefydliadol
- Ymgysylltiad parhaus ag aelodau etholedig, gan gynnwys y ddau aelod Arweiniol a'r Arweinydd yn uniongyrchol, a mynychu pob Grŵp Ardal Aelodau yn hydref 2015.

### 4.4 Canfyddiadau Allweddol / Camau - gweler y Prawf Sicrwydd (Atodiad A) am Fanylion

- Cafodd strwythur y sefydliad ei ddiwygio a dyrannwyd swyddi uwch (gweler tudalen 4, Atodiad A)
- Cafodd presenoldeb mewn cyfarfodydd allanol eu hadolygu a chytunwyd ar ddirprwyaethau
- Cafodd cyfarfodydd rheoli mewnol eu hadolygu a chytunwyd ar strwythur
- Cafodd penderfyniadau dirprwyedig eu bwydo i mewn i'r adolygiad gan y gwasanaethau Cyfreithiol, o Gyfansoddiad y Cyngor
- Cafodd y risgiau a champau lliniaru eu nodi a'u cytuno arnynt.

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

Prif ganlyniad y newid yw gwelliant ar unwaith mewn gwaith colegol rhwng y gwahanol grwpiau. Gallu'r gwasanaeth newydd i symud yn gyflym yn ei ymateb i anghenion plant a phobl ifanc yn y sir, er mwyn sicrhau eu diogelwch a'u cefnogi i gyrraedd eu potensial trwy addysg a chyfleoedd cymdeithasol. Yn hyn o beth, mae uno'r gwasanaethau'n alinio â'r flaenoriaeth gorfforaethol bod "pobl ddiameddiffyn yn cael eu hamddiffyn ac yn gallu byw mor annibynnol ag y bo modd" a'r amcan o "wella ein perfformiad mewn Addysg".

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

Mae'r Asesiad o Effaith ar Gydraddoldeb yn amgaeedig gyda'r adroddiad hwn. Y canfyddiadau allweddol yw:

- Ar y cyfan, gwelir rhai canlyniadau cadarnhaol, hyd yn oed yn y cyfnod cynnar hwn, mewn perthynas â diogelu plant a phobl ifanc, er enghraifft.
- Dylai'r gwaith colegol ar draws y gwasanaeth alluogi mwy o gyfle cyfartal ar gyfer y grŵp diameddiffyn hwn
- Mae risg posibl i'r tîm rheoli o'r llwyth gwaith ychwanegol a'r newidiadau mewn strwythur rheoli. Bydd hyn yn cael ei adolygu ar sail barhaus drwy gyfarfodydd rheoli rheolaidd

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

Mae'r papur hwn yn cael ei gyflwyno yn y Pwyllgor Llywodraethu Corfforaethol ar 27 Ebrill 2016, er mwyn sicrhau bod cyfle i archwilio'n drylwyr. Mae'r gwaith hefyd wedi cael ei adolygu gyda'r Aelod Arweiniol Gofal Cymdeithasol, y Cynghorydd Bobby Feeley, Aelod Arweiniol Addysg, y Cynghorydd Eryl Williams ac Arweinydd y Cyngor.

### 9. Datganiad y Prif Swyddog Cyllid

Amherthnasol - niwtral o ran cost.

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

Gweler y gofrestr Risg ar y dudalen nesaf.

Rhif	Dyddiad y codwyd / gan	Disgrifiad / Lliniaru	Perchennog y cam gweithredu	Cynhenid		Gweddilliol	
				Tebyg.	Effaith	Tebyg.	Effaith
001	Gweithdy Tîm Rheoli 17.03.2015	<p>Trwy uno'r ddau wasanaeth, mae llwyth gwaith y Pennaeth Gwasanaeth yn cynyddu'n sylweddol, sy'n golygu lefel uwch o annibyniaeth ac atebolrwydd dirprwyedig ar gyfer rheolwyr canol. Mae risg o effaith ar gyflenwi gwasanaethau oherwydd fe allai'r uwch dîm arweinyddiaeth deimlo eu bod â mwy o waith.</p> <p><b>Lliniaru</b></p> <ul style="list-style-type: none"> <li>Mae gan y Pennaeth Gwasanaeth gyfrifoldeb i sicrhau bod y dirprwyaethau'n cael eu rheoli'n effeithiol ac mae wedi'i ymrwymo i hyn</li> <li>Adolygu atebolrwydd dirprwyedig a bodloni matrices gyda rheolwyr a sicrhau eglurder o berchnogaeth – ym mhob cyfarfod uwch reolwyr</li> <li>Cadw swydd wag rheolwr gwasanaeth ac adolygu'r gofyniad i lenwi'r swydd ar ôl 6 mis ac eto ar ôl 18 mis pan fydd y Prawf Sicrwydd yn cael ei ailadrodd</li> </ul>	Karen Evans	C	2	D	3
002	Leighton Rees 01.09.2015	<p>Risg fod galwadau gweithredol cynyddol o ddarparu'r gwasanaeth yn gallu cael blaenoriaeth a bod y weledigaeth strategol yn dod yn llai cadarn.</p> <p><b>Lliniaru</b></p> <ul style="list-style-type: none"> <li>Mae gan y Pennaeth Gwasanaeth ar gyfer y gwasanaeth newydd brofiad sylweddol mewn Addysg a bydd y trawsnewid i reoli gofal cymdeithasol plant yn cael ei lywio a'i ddylanwadu gan yr arbenigedd hwnnw a gwybodaeth o weithio gyda phlant a phobl ifanc a statud cysylltiedig</li> <li>Bydd y cyfarfodydd rhanbarthol a chenedlaethol yn cefnogi'r Pennaeth Gwasanaeth newydd wrth ddatblygu'r weledigaeth ar gyfer y gwasanaeth</li> <li>Bydd Rheolwyr Canol yn cyfrannu tuag at ddatblygu a gweithredu'r weledigaeth. Bydd atebolrwydd terfynol yn gorffwys gyda'r Pennaeth Gwasanaeth</li> <li>Bydd cadernid y trefniant yn cael ei ddilysu a'i brofi ar sail barhaus drwy archwilio a rheoli perfformiad</li> <li>Mae Prawf Sicrwydd yn cael ei gynllunio ar ôl 6 mis a 18 mis o'r broses</li> </ul>	Nicola Stubbins	D	3	D	4

Rhif	Dyddiad y codwyd / gan	Disgrifiad / Lliniaru	Perchennog y cam gweithredu	Cynhenid		Gweddilliol	
				Tebyg.	Effaith	Tebyg.	Effaith
003	Julian Molloy 22/09/15	<p>Risg bod y newid i wasanaeth newydd yn amhariad felly mae safonau mewn ysgolion yn gostwng.</p> <p><b>Lliniaru</b></p> <ul style="list-style-type: none"> <li>• Cynllunio clir, Eglurder o rolau ac amlinelliadau Swyddi</li> <li>• Gwneud yn siŵr ein bod yn rheoli'r timau newydd yn effeithiol ac yn gwneud y gwasanaeth yn well gyda llai o adnoddau.</li> <li>• Bod yn ymwybodol bod yn rhaid i'r trawsnewid i wasanaeth cydgysylltiedig newydd gael effaith gadarnhaol ar blant.</li> </ul>	Karen Evans	D	3	D	4



# Test of Assurance Phase 1

## Report to Education and Children's Services Senior Management Team

Stephanie O'Donnell

Version 1.5

# Education and Children's Services Test of Assurance Phase 1 Report

## 1. Purpose of Report

This report presents findings from the first Phase of the Test of Assurance (ToA) for joining Education and Children and Families services in Denbighshire County Council (DCC) and recommends follow-on actions to be completed by the management team for the new service.

## 2. Background

In September 2014 the CEO communicated to all officers proposed changes to the Council's organisation structure. Consultation for this review completed on 13/10/2014 and changes are now being moved forward. One of these changes is to bring together the Education Service and Children and Families Service to create a new service, Education and Children's Services. This has been compulsory in England for over a decade and is increasingly common in Wales.

In England Authorities that make significant changes to the role of Director of Children's Services are required to assure themselves that there is no impairment to the delivery of statutory responsibilities as laid out in the Statutory Guidance documents and Guidance on the statutory chief officer post of the Director of Social Services (May 2006).

It was agreed for a Test of Assurance (ToA) to be developed and carried out as part of the process of transition to the new organisation structure. The Test is focused on the statutory responsibilities for Children's and Education services. Repeating the ToA will offer assurance over time that the new service is compliant with statutory accountabilities.

## 3 Purpose

The Test of Assurance (ToA) will deliver a report to CET and Council to assure these key stakeholders that the Council's statutory duties towards children and young people will be maintained and strengthened through the new organisation structure.

The report will also highlight any risks to be mitigated during the first 6 to 12 months operation and the process for ongoing assurance review. The test is to provide assurance of the statutory duties of the Director of Children's Services, the Director of Education and the Lead Member.

## 4. Scope of ToA

The scope was initially constrained to providing assurance around the statutory children's social care responsibilities – this was aligned to the model of assurance undertaken in England from 2012. However, it was agreed in May 2015 that the ToA should take a more holistic view of risks and their mitigation to all statutory duties associated with the new service. Hence, the ToA aims to provide assurance on:

## Education and Children’s Services Test of Assurance Phase 1 Report

- ✓ how the statutory duties of the Director of Children’s Services and Director of Education are being met
- ✓ delegated decisions and any associated risks and how these will be managed
- ✓ the strengths and areas for future focus for the new service in terms of meeting and exceeding statutory duties and maximising the potential of a combined Education and Children’s team.
- ✓ input into Legal and Democratic Service’s ongoing review of the Council’s constitution, specifically around delegated accountabilities of key officers.

The key statutory instruments <sup>1</sup>which have informed the development of the ToA are listed below:

- “Statutory Guidance on the Role and Accountabilities of the Director of Social Services (Wales)” issued under Section 7 of the Local Authority Social Services Act 1970
- “Fulfilled Lives, Supportive Communities” 2007, a strategy for social services in Wales.
- Denbighshire County Council’s Constitution defines the delegation of responsibilities for senior officers and elected members. This is in line with the Local Government Act 2000 (Local Authority Constitution) (Wales)
- Social Services and Well-being (Wales) Act 2014
- Education (Wales) Act 2014
- Education Act (2002)

Further data sources are listed in **APPENDIX A**.

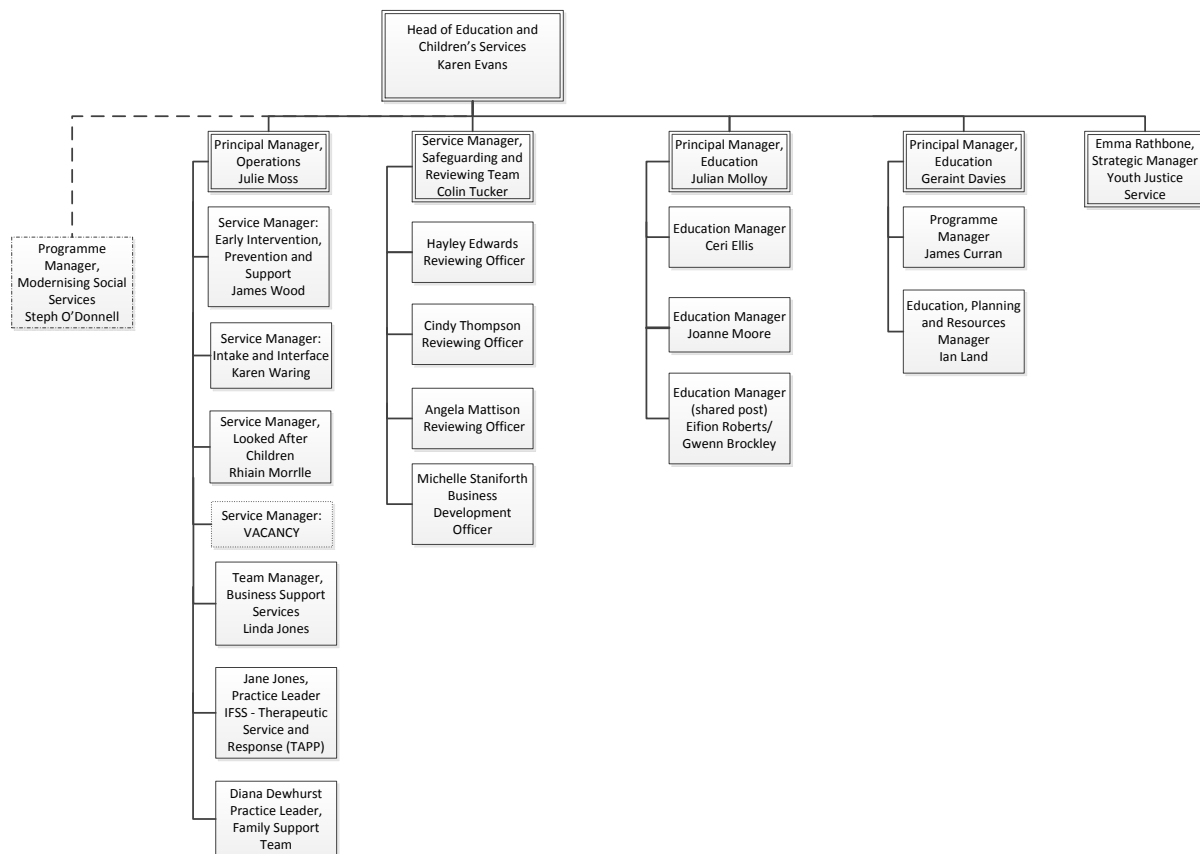
### 4.1 Organisation

The senior team structure for the new service has been agreed and consultation for the senior roles concluded on 4<sup>th</sup>. September, 2015. In December 2015 it was also agreed that additional responsibilities for the Modernising Schools programme and for school Admissions and Transport will transfer to the new service. The structure is illustrated below:

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<sup>1</sup> <http://gov.wales/docs/dhss/publications/090617guidancedirectorsocialservicesen.pdf>  
<http://www.legislation.gov.uk/ukpga/1970/42/section/7>  
<http://gov.wales/dhss/publications/socialcare/strategies/fulfilledlives/fulfilledlivese.pdf?lang=en>  
<https://www.denbighshire.gov.uk/en/your-council/about-the-council/council-constitution-dec-2014-en.pdf>  
[https://www.legislation.gov.uk/ukpga/2000/22/pdfs/ukpga\\_20000022\\_en.pdf](https://www.legislation.gov.uk/ukpga/2000/22/pdfs/ukpga_20000022_en.pdf)  
[http://www.legislation.gov.uk/anaw/2014/4/pdfs/anaw\\_20140004\\_en.pdf](http://www.legislation.gov.uk/anaw/2014/4/pdfs/anaw_20140004_en.pdf)  
[http://www.legislation.gov.uk/anaw/2014/5/pdfs/anaw\\_20140005\\_en.pdf](http://www.legislation.gov.uk/anaw/2014/5/pdfs/anaw_20140005_en.pdf)  
<http://www.legislation.gov.uk/ukpga/2002/32/contents>

# Education and Children's Services Test of Assurance Phase 1 Report



The ToA focuses on the delegated accountabilities associated with the senior roles.

## 5. Approach

The work has been managed as a workstream under the Service Transition project, “Joining Education and Children and Families services” (verto project PR004000). The workstream consists of the following phases:

- **Initiation phase** – agreement of methodology, reporting processes, timescales, and resources
- **Research phase** – consideration of both national and local contexts and collation of accountabilities for each senior role. Source data is listed in Appendix A.
- **Evaluation and reporting phase** - interviews and focus groups conducted, findings collated and analysed and themes identified. Final report drafted for management team. Also to review with both Lead Members. This process will inform plans for governance arrangements during Transition.
- **Interim Report** – to be reviewed at the joint management meeting in July or August
- **Input to development of Constitution** – engagement with Legal and Democratic Services to ensure the next iteration of the Council’s Constitution incorporates the appropriate delegated decisions and these are ratified by Legal experts
- **Phase 1- Report-** preparation and presentation of findings and any follow-on actions

## Education and Children's Services

### Test of Assurance Phase 1 Report

- **Phase 2** – running a ToA after 6 months' operation (Quarter 3, 2016/17) to address risks and identify any new risks and issues and their mitigation
- **Phase 3** – repeat the ToA after 18 months (Q3 2017/18) operation of the new service.

## 6. Phase 1 Findings

This section of the report summarises the Status, Findings and Recommendations from each of the following:

- Process of structured interviews with senior managers for Education and Children and Families Services and the Director, Communities
- Review of meetings attended by members of both management teams
- Review of the delegated decisions for both management teams.

### 6.1 Interviews

A series of interviews has been undertaken with Service Managers from both services, both Heads of Service and Legal representative. The aim being to gather feedback on statutory accountabilities, any risks and issues perceived with the joining of the two services related to each accountability and proposed risk mitigation.

#### 6.1.1 Status

From the desk top research undertaken in 2015 a set of questions was compiled to form the basis of interviews with key stakeholders. 12 Local Authorities in England were contacted and effort made to find their original analysis. In view of intellectual property of third parties, it was only feasible to gather background information from Poole and Bath. The aim of the interviews was to ascertain any key risk areas and recommend risk management approach. The interview questions and collated responses are included as **APPENDIX B**. The detail from each interview is available on request. The interviewees were also asked to comment on the matrix of delegated decisions (**Appendix D**) reviewed in section 6.3 of this report.

#### 6.1.2 Interview Findings – Key Points

- In bringing the 2 services together the main issue will be management capacity to shoulder the additional work where this is delegated from the new, broader Head of Service function. In view of this, an additional Principal Education Manager post has been agreed, with particular focus on the Welsh medium development, and a vacant Children's service manager post is being held open, should the additional capacity be needed and this resource can be used in a flexible way. There has also been a commitment not to reduce the financial resources at this point in time so contingency exists to deliver the services.

## Education and Children's Services

### Test of Assurance Phase 1 Report

- Line management accountability for safeguarding will sit alongside the new senior structure, reporting directly to the Head of Service, and acting as an independent quality assurance unit across Children's services. This will be directly accountable to the Head of Service and offers independence and an opportunity to extend the scope of work to Education.
- The structure also has accountability set out in relation to GWE to assure standards in Education at the Head of Service level and this will be reflected in the Constitution, performance management and governance arrangements. Within our statutory accountability we have a robust management structure enabling us to ensure GWE are fulfilling statutory functions on our behalf.
- Referral systems and threshold criteria are well understood in individual functional units. Task and Finish groups which took place over Summer 2015 helped share understanding of key areas amongst middle managers and enabled learning from best practice. In the context of changing policy and legislation in both parts of the new service, assessment and referral processes will need to be revisited as there may be longer term implications across the Board.
- There is no specific children's scrutiny committee. Nevertheless, issues are often fed into Performance, Communities and Partnerships or Corporate Governance committees, so scrutiny is in place. There is also a School Standards Monitoring group. At this stage it is not considered to be necessary by the senior management team to establish a discrete scrutiny body. This will be monitored and discussed with the Lead Member.
- There is a key role in Children's services of Adoption Decision Maker (ADM) and there has been some discussion over the required level and type of qualification and experience to perform this role. The current Head of Children and Families services acts as ADM for adoption and ADM for fostering and meets with the Agency Advisor to Panel to discuss recommendations made by fostering panel and given final decision as ADM.

There is no legislation which mandates that the ADM be a qualified Social Worker. Guidance from BAAF<sup>2</sup> states that, 'The Welsh Regulations, guidance and NMS do not set out any minimum qualifications or experiences needed in order to take on the function of the ADM. However, it is the accepted practice that the ADM is a senior manager with significant child care experience and adoption experience. The Welsh National Minimum Standards for Local Authority Adoption Services for Wales, Standard 10<sup>3</sup>, sets out the skills required to carry on or manage an adoption service, which may provide a bench mark for the minimum required of an ADM.' The skills outlined in standard 10 are: a social work qualification, NVQ level 4, and at least 5 years' experience in child care and adoption.

The role could be taken by the new Head of Service or delegated to the Principal Operations Manager Children's services. It should be noted that an agency can appoint more than one ADM but that the role can't be delegated from one person to

<sup>2</sup> <http://www.baaf.org.uk/res/fostering-and-adoption-regulations-guidance>

<sup>3</sup> <http://gov.wales/topics/health/publications/socialcare/guidance1/adoptionagencies/?lang=e>

## Education and Children's Services

### Test of Assurance Phase 1 Report

another. The senior team determined that the designated ADM for Adoption and Fostering will be the Principal Manager, Children's Services.

- Engaging with children in terms of taking ownership of the offer for them is an improvement area for Children's services identified at the last CSSIW report. This is being actively progressed through the service business plan and focus will be maintained on this area under the new joint service business plan going forward.
- Performance is regularly reviewed at Management Team meetings and also through the service challenge process and performance scrutiny. There exist rigorous systems for monitoring and making performance accountable.
- There is a need for Professional supervision in social care and this is monitored by CSSIW. The new Head of Service is already supporting professional development of her senior team in Education and the ongoing development of senior managers will be a high priority for the new service. Other routes, such as membership of ADSS Cymru, will be explored for enhanced professional development.
- The Head of Education is the designated statutory officer for Education and this needs to be reflected in the Constitution.
- Partnership meetings are key to ongoing development of Children's services in collaboration with partner organisations. The schedule of meetings (**see Appendix C**) to be reviewed in detail at the first joint management meeting in October 2015.

#### 6.1.3 Recommended Follow-On Actions

Following handover of responsibilities and publication of this ToA, the following open actions will still need to be taken forward:

- Management capacity to take on the new accountabilities needs to be considered at every performance review and in management meetings and added to the service business plan's risk register.
  - Review of the structure and capacity issues to be undertaken before end of Quarter 2 of 2016/17 to inform the budget setting discussions and its viability re-assessed
- Professional development of senior team to be reviewed as a regular agenda item at the new management meetings

## 6.2 Meetings attended by Managers

The senior management team in both services was asked to compile a list of all meetings attended. The findings are included as **Appendix C** of this report. This data will be:

- used by management to inform decisions about delegation of meetings attended by the existing Heads of service after job slotting and KE to reflect whether we should actually hold the meetings

## Education and Children’s Services

### Test of Assurance Phase 1 Report

- used by the new Head of service and her team to, in turn, inform changes to delegated decisions for key members of the senior team which will be fed through to Legal for updates to the Constitution
- Considered by the whole senior team in terms of their capacity to attend all meetings and to inform decisions about priority committees.

#### 6.2.1 Status

The meetings schedule in Appendix C reflects the current picture and recommended handovers. There is a need to review the recommendations and agree a course of action and a requirement to determine which existing Education meetings should be delegated to allow capacity for the Head of Service to take on new accountabilities.

#### 6.2.2 Meeting Hand-overs

The following changes to meeting attendance have been made:

- The following meetings, which were formerly attended by Head of Children and Families services, to be attended by the new Head of Education and Children’s Services: AWHOCS; Partnership Friday; Children and Young People’s Partnership Board; Children in Wales; Corporate Parenting Forum; Corporate Safeguarding Panel; (PICA and POMB as requested)
- The Principal Manager, Children’s Services to be accountable for the following: Adoption ADM; Fostering ADM; Should Be Placed meeting; Families First Project Board; Families First Strategic Group; Flying Start Strategic group; Joint Commissioning Panel; Joint Children’s strategic task Group; LFJB; MSSEW Board; N Wales family Support Group. Some meetings may be delegated to the Service Manager, Early Intervention and Strategy.
- The following to be attended by the Safeguarding Manager: Conwy and Denbighshire Youth Justice Board; Community Safety Strategic Steering Group; MARAC Steering Group; RSCB.

#### 6.2.3 Recommended Follow-On Actions

The following tasks to be completed:

- Ongoing review of capacity of senior roles in light of additional accountabilities and meeting commitment. Risk identified (see Section 7) to be monitored via service business planning.

### 6.3 Delegated Decisions



## Education and Children's Services Test of Assurance Phase 1 Report

As part of the desk-top research for the project, statutory duties were compiled and reviewed with senior managers and the findings collated and shared with Legal. See **APPENDIX D**.

### 6.3.1 Status

The senior management team will meet with an officer from Democratic and Legal services in October 2015 and reviewed delegated accountabilities for the revision of the current Constitution.

### 6.3.2 Recommendations

- The HoS' accountabilities will be reviewed on an ongoing basis through scrutiny and performance review processes and will also be subject to a Phase 2 ToA in Quarter 3 of 2016/17.

## 7. Risks

The table on the following page summarises the risks associated with the transition to the new service and their mitigating actions. These should be reviewed by senior management and appended to corporate Risk Register where necessary.

### Risk Register – Key to Criteria (from Business Improvement and Modernisation service)

The above risk management matrix is the corporate standard, from BIM. This enables us to highlight the inherent risk if no mitigating actions are taken and the Residual Risk – i.e. the risk once mitigating actions have been taken.

## Education and Children's Services Test of Assurance Phase 1 Report

LIKELIHOOD	Event is almost certain to occur in most circumstances	>70%	Almost Certain	A					
	Event likely to occur in most circumstances	30-70%	Likely	B					
	Event will possibly occur at some time	10-30%	Possible	C					
	Event unlikely and may occur at some time	1-10%	Unlikely	D					
	Event rare and may occur only in exceptional circumstances	<1%	Rare	E					
					5	4	3	2	1
					Very Low	Low	Medium	High	Very High
Time	Insignificant increase to project time. Barely noticeable impact on project scope or objectives	<5% increase to project time. Minor impact on project scope or objectives	5% - 20% increase to project time. Major impact on project scope or objectives requiring sponsor approval	20% - 50% increase to project time. Impact on project scope or objectives unacceptable to sponsor	>50% increase to project time. Project fails to meet objectives or scope				
Service Performance	Minor errors or disruption	Some disruption to activities/	Disruption to core activities/ customers	Significant disruption to core activities.	Unable to delivery core activities. Strategic				

**Education and Children's Services**  
**Test of Assurance Phase 1 Report**  
 Risk Matrix

Tudalen 35

No.	Date raised/by	Description/Mitigation	Action Owner	Inherent		Residual	
				Prob	Impact	Prob	Impact
001	Management Team workshop 17.03.2015	<p>By joining the two services, the workload of the HoS increases significantly, necessitating a higher level of autonomy and delegated accountability for middle managers. There is a risk of an impact on service delivery as the senior leadership team may find themselves more stretched.</p> <p><b>Mitigation</b></p> <ul style="list-style-type: none"> <li>The Head of Service has a responsibility to ensure the delegations are effectively managed and is committed to this</li> <li>Review delegated accountabilities and meeting matrix with managers and ensure clarity of ownership</li> <li>Ensure this is reviewed at all senior management meetings and supervisory reviews</li> <li>Retain a service manager vacancy and review the requirement to fill the role at 6 months and again at 18 months when the ToA is repeated</li> <li>Fill an additional Education Manager role, as agreed with the CEO, to offer additional capacity and a focus on Welsh language</li> </ul>	Karen Evans	C	2	D	3
002	Leighton Rees 01.09.2015	<p>There is a risk that the development and implementation of a strategic vision for Children's social care could be jeopardised by not having specialist expertise at HoS level. If Middle Managers are in part accountable for the vision and its implementation, the operational demands of delivering the service may take precedence and the vision become less robust.</p> <p><b>Mitigation</b></p> <ul style="list-style-type: none"> <li>The HoS for the new service has a significant experience in Education and the transition to managing children's social care will be informed and influenced by that specialism and knowledge of working with children and young people and related statute</li> </ul>	Nicola Stubbins	D	3	D	4

## Education and Children's Services Test of Assurance Phase 1 Report

No.	Date raised/by	Description/Mitigation	Action Owner	Inherent		Residual	
				Prob	Impact	Prob	Impact
		<ul style="list-style-type: none"> <li>The regional and national meetings will support the new HoS in developing the vision for the service</li> <li>Middle Managers will contribute towards the development and implementation of the vision. Final accountability will rest with the HoS</li> <li>The robustness of the arrangement will be validated and tested on an ongoing basis through scrutiny and performance management</li> <li>Test of Assurance is planned at 6 months and 18 months into the process</li> </ul>					
003	Julian Molloy 22/09/15	There is a risk that the migration to the new service becomes a distraction so standards in school drop. <b>Mitigation</b> <ul style="list-style-type: none"> <li>Clear planning</li> <li>Clarity of roles and Job outlines</li> <li>Making sure that we manage the new teams effectively and make the service better with less resource.</li> <li>Be mindful that overall the transition to a new joined-up service must have a positive impact on children.</li> </ul>	Karen Evans	D	3	D	4

Tudalen 36

**8. Outstanding Actions to Complete Phase 1**

- Feed follow-on actions and risks into the service business planning process
- Consideration to be given by whole management team to their capacity for all meetings through regular management meetings
- Feed agreed recommendations into review of the Council's Constitution, September 2015
- Book follow up reviews at 6 and 18 months in.

## Education and Children's Services Test of Assurance Phase 1 Report

### APPENDIX A: Source Data

The exercise has used the following, key sources of information to inform assessment:

- The Legislation listed in Section 4 of this Document<sup>4</sup>
- BAAF guidance and Adoption Agency guidance for Wales referenced under Section 6 of this document, Findings<sup>5</sup>
- Denbighshire County Council's Constitution, at May 2015
- CEO's consultation document, explaining the rationale behind organisational structure changes at Tier 1 and Tier 2
- CEO's post consultation document
- New organisation chart published for consultation August 2015
- Summary of Statutory responsibilities of Director of Social services
- Output from interviews with managers and staff from both services
  - Director of Social Services
  - CEO
  - Head of Children's Services
  - Service Managers, Children and Families Service
  - Education Managers
- Access to senior management through regular meetings (4/3/15, 15/4/15, 19/5/15, 2/6/15)
- Discussions between Director, Communities, Head of Education and Children's services and Lead Members for Social Care and Education

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<sup>4</sup> <http://gov.wales/docs/dhss/publications/090617guidancedirectorsocialservicesen.pdf>  
<http://www.legislation.gov.uk/ukpga/1970/42/section/7>  
<http://gov.wales/dhss/publications/socialcare/strategies/fulfilledlives/fulfilledlivese.pdf?lang=en>  
<https://www.denbighshire.gov.uk/en/your-council/about-the-council/council-constitution-dec-2014-en.pdf>  
[https://www.legislation.gov.uk/ukpga/2000/22/pdfs/ukpga\\_20000022\\_en.pdf](https://www.legislation.gov.uk/ukpga/2000/22/pdfs/ukpga_20000022_en.pdf)  
[http://www.legislation.gov.uk/anaw/2014/4/pdfs/anaw\\_20140004\\_en.pdf](http://www.legislation.gov.uk/anaw/2014/4/pdfs/anaw_20140004_en.pdf)  
[http://www.legislation.gov.uk/anaw/2014/5/pdfs/anaw\\_20140005\\_en.pdf](http://www.legislation.gov.uk/anaw/2014/5/pdfs/anaw_20140005_en.pdf)  
<http://www.legislation.gov.uk/ukpga/2002/32/contents>

<sup>5</sup> <http://www.baaf.org.uk/res/fostering-and-adoption-regulations-guidance>  
<http://gov.wales/topics/health/publications/socialcare/guidance1/adoptionagencies/?lang=e>

## Education and Children's Services Test of Assurance Phase 1 Report

### APPENDIX B: Interview Script and Consolidated comments

#### Local Context

Denbighshire County Council (DCC) is planning to implement new management arrangements from April 2016 creating a People and Communities Directorate organised on a commissioner/provider structure and bringing together Children and Families and Educations services under a single Head of service for Education and Children's services.

In running this Local Test of Assurance Test (ToA) DCC prepared a specification that set out a process of individual and focus group interviews to test staff understanding of the structures and lines of management accountability.

#### Assurance parameter 1

Clarity about how senior management arrangements ensure that the safety and the educational, social and emotional needs of children and young people are given due priority and how they enable staff to help the Local Authority discharge its statutory duties in an integrated and coherent way.

In order to test this parameter questions were framed to check whether:

1.1 Line management and accountability arrangements for safeguarding and the promotion of improved outcomes for children and young people are clear and transparent?

Q1 What are the line management accountability arrangements for safeguarding Children and Young People?

A:

- KE has developed a senior management structure and mapping across both Education and social care. In terms of delegation offers clarity of role. Identified officer by function. Clear lines of accountability. Safeguarding sit as independent QA unit across the whole structure and directly accountable to HoS. This will deliver quality assurance across WHOLE service.
- GWE role - KE to show how GWE is linked to the whole model.
- If can get structure right and agreed this leaves lines of accountability as they are in terms of Children's SW operational roles.
- Lines may change when the new structure is bedded in.
- The corporate accountability for safeguarding rests with the Director, Communities.

1.2. Do staff understand and can they articulate the line of accountability and know where in the management team to go with a concern about safeguarding, unsafe practice and 'whistle blowing'.

A:

- Safeguarding is a direct report to Head of Service, emphasising the importance of the function and significant effort continues to go into developing corporate

## Education and Children's Services

### Test of Assurance Phase 1 Report

safeguarding procedures. The manager is engaging with all services, including HR to feed into corporate policies.

- Internal Audit report just published. Follow up. Nicola will send.

#### Q1 How do staff know who is accountable for safeguarding?

A:

- HR Policies – intranet

#### Q2 How do staff know who to ask and how to raise safeguarding issues?

A:

- Intranet pages to ensure policies clear and easily accessible are being developed by Gareth Watson, as part of his role for corporate safeguarding group.

1.3 Has the integrity and coherence of the structure been 'tested' to ensure fitness for purpose? How?

A:

- The new management organisation structure has been issued for consultation for 5 weeks and feedback is being consolidated. This consultation was with officers in scope, unions and elected members. Some changes have already been made - for example, job titles. This has been a rigorous consultation to test with management teams and unions.
- Schedule of accountabilities has been reviewed as part of ToA
- Elements of the Service Manager, Safeguarding role will assure coherence and ability to deliver on ongoing basis.

## 8. Assurance parameter 2

Clarity about how the Local Authority intends to discharge its children's services functions and be held accountable for them from political, professional legal and corporate perspectives (including where, for example, services are commissioned from external providers or mutualised in an arm's length company).

In order to test this parameter questions were framed to check whether:

2.1 The means by which the LA intends to deliver its Children's Services functions are clear and understood by staff, councillors and partners. In particular;

#### Q1 What are the core accountabilities of Children's services? And who is accountable for delivery?

A: The ToA has undertaken a full review of statutory accountabilities, with Legal and Democratic services, to ensure our constitution is robust. This is being reviewed by senior job holders and HR.

#### Q2 How do staff understand these?

A:

- Consultation process
- Job matching and new job outlines
- Ongoing cascade of communication planned commencing Quarter 3 2015/16



## Education and Children's Services

### Test of Assurance Phase 1 Report

- Plan for follow up survey of staff in January 2016 to gauge understanding and buy-in

#### Q3 How do councillors understand these?

A:

- Initial engagement at Council briefing
- Ongoing engagement through HoS, Corporate Director and Lead Member
- Corporate Director and HoS attending MAG meetings in September/October

#### Q4 How do partners understand these?

A:

- Communicated by email with key partner organisations.
- Draft 1.0 ToA shared with regulators (CSSIW and Estyn) and comments invited

### 2.2 Are delivery structures clear and coherent?

#### Q1 Can you share with me how the organisation structure supports this delivery?

A:

- Delegated accountabilities and meeting attendance have been reviewed and clearly allocated to minimise impact on senior team's capacity
- An additional role of Principal Manager, Education is being recruited to bolster capacity and support to the HoS
- A service Manager Vacancy in Children's services will be kept open to enable capacity should this be needed

### 2.3 Are referral systems, threshold criteria etc understood by staff and partners?

A:

- We have body of evidence for assessment and eligibility. New post is front door for this – covers both. Plus statementing process as is (statutory) is well understood by Education colleagues.

### 2.4 Key relationships and processes for safeguarding, child protection and CIN are understood and implemented effectively

#### Q1 Explain the difference – SG, CP and CIN and how the relationships are understood and promoted?

A:

- Fully understood by Social care staff and adhering to Framework for Assessment
- Joint Task and Finish Group for Safeguarding is sharing understanding of processes
- Policy documents are stored on the CS Common shared drive and are available for public viewing via the Intranet. The policies around assessment and eligibility are being reviewed in line with the SSWB Act

### 2.5 How children's services functions are reported and held accountable by the corporate organisation and the democratic structure

A:

- Other elements of the Test of Assurance and the parallel review of Council Constitution underpin this.

## Education and Children's Services

### Test of Assurance Phase 1 Report

- We do have Lead Member (LM) for Education, LM for social care and LM for development of the new service (also Leader of the Council) and will revisit the arrangements post transition.
- Scrutiny and that level of accountability – there isn't a specific Children's scrutiny. Depending on the issue, 3 committees could be addressed. Director is reviewing.

2.6 How the LA requirement for safeguarding standards and practices are articulated, evidenced and implemented in commissioned and arms' length services

A:

- Corporate safeguarding panel
- Key role of IROs
- Within Commissioning strategy
- There are no services on Education side except GWE. If Safeguarding Manager is performing an independent role should this also incorporate GWE? Opportunity?
- Regional commissioning also picks up and there is potential for joint commissioning with Health.

#### 9. Assurance parameter 3

The seniority of and breadth of responsibilities allocated to individual post holders and how this impacts on their ability to undertake those responsibilities (especially where a local authority is considering allocating any additional functions to the DCS and LMCS posts); In order to test this parameter, questions were framed to check

3.1 Does the management structure recognise and allocate capacity to the key functions of the DCS/LMCS to ensure these can be effectively managed?

A:

- We are **not** taking capacity out – the structure reflects capacity levels required and an additional Education Lead post to focus on Welsh language.
- We will hold one vacant service manager post in social care whilst the new structure beds in and review the requirement after 6 and 18 months' operation.
- We have retained an ability to flex if needed.
- Have validated statutory requirements for ADM for Adoption and for fostering and this can be filled by the new HoS.

3.2 Where key functions are delegated, is the scope of delegation clear and does the relevant post holder hold the appropriate level of seniority both for the department and corporately?

**Q1 Where are key functions delegated? How effective is this?**

A:

- See Consultation document
- ToA process incorporates review of delegated accountabilities (See Appendices D, E) which will inform development of the Constitution

**Q2 What are the risks when we implement the new structure?**

A:

## Education and Children's Services

### Test of Assurance Phase 1 Report

- See Risk Matrix in Part 4 of the Test of Assurance Phase 1 Report to Heads of Service and Director, Communities.

#### 10. Assurance parameter 4

The involvement and experiences of children and young people in relation to local services

In order to test this parameter, questions were framed to check whether:

4.1 The voices of children, young people and families inform and influence policymaking and priorities?

Q1 How do you engage CYP and families in strategy and policy making currently?

A:

- The Voice of the Child project is running in Children and Families services. This was identified in improvement report so should develop.
- Education has been addressing CYP participation for some years. Could tighten from Estyn perspective.
- Education is making an appointment to this post for Education – possibility that this role can work together with VoC project and share learning and good practice. Engagement at all levels.
- Education seems stronger on the consultation groups and forums and C&F services more on 121 basis. How do we share best practice and develop this area jointly.
- Harness new technologies – e.g. C&F services has Facebook page.

Q2 What risks are associated with the new structure in this respect?

A:

- Not a risk but an opportunity for joint working to develop capability across the new service.

4.2 Does the DCS meet young people?

A:

- Yes, but not formally often enough. HoS Education does. Has met Leaving care group and LAC kids party as and where.

#### 11. Assurance parameter 5

Clarity about child protection systems, ensuring that professional leadership and practice is robust and can be challenged on a regular basis, including an appropriate focus on offering early help and working with other agencies in doing so

In order to test this parameter questions were framed to check whether:

5.1 Operational practice and management systems are clear understood and implemented, for example-Are Timescales adhered to?

Q1 What procedures are in place to manage Child Protection?

A:

- Qualitative as well as PIs – will be in lines of accountability that drop out of the stricture.
- All performance appraisals.

## Education and Children’s Services

### Test of Assurance Phase 1 Report

- Professional supervision in social care – case management.
- Colin’s work QAs that supervision.
- CFMT standing items ref performance – CT drilling to understand.
- Quarterly CSSIW meetings to monitor.

5.2 Is supervision effective?

A: Yes, according to managers interviewed. Follows corporate processes.

5.3 Is there routine line management and quality assurance of practice and decision making?

A:

- New QA framework and role of IROs in children’s services
- Bolstering senior management capacity in Education to take account of delivery from GWE

5.4 Is there a clear offer of early help?

A:

- The proof will be once roles are established and going forward.
- For post transition.
- Some will have to be operated within the grant arrangements, e.g. Families First; Flying Start.

## 12. Assurance parameter 6

The adequacy and effectiveness of local partnership arrangements (e.g the local authority’s relationship with schools, the courts, children’s trust cooperation arrangements, Community Safety Partnerships, Health and Wellbeing Boards, Youth Offending Team Partnerships, police, probation, Multi-Agency Public Protection arrangements and Multi-Agency Risk Assessment Conferences) and their respective accountabilities.

We don’t have children’s trust but CYP Partnership.

In order to test this parameter questions were framed to test:

6.1 Is the LSCB effective and authoritative with structures that are fit for purpose including effective sub committees, performance management, audit and QA arrangements?

A:

- Early days for Regional and local one is building on what was the LSCB and finding feet.
- Will be subject to changes from the Act. Director Communities attends Regional Board with HoS and HoS then deputises on occasion.
- HoS Education had started to attend some Boards in place of former Director Education. The full set of accountabilities needs to be reviewed under the ToA

6.2 Do statutory and voluntary sector agencies contribute sufficient professional time and resource to LSCB and sub committees?

A:

- Key role in Partnership Board, delivering the Wellbeing Plan for Denbighshire,

## Education and Children's Services

### Test of Assurance Phase 1 Report

- Active engagement through Inclusion project with third and independent sectors

6.3 How does LSCB report on its work and findings to the LA and statutory agencies?

A:

- Regional NWSSIC Programme Manager, Bethan Jones Edwards – contact for safeguarding C Board Manager and terms of reference schedules of meetings etc, structure and memberships.

6.4 How are Children's Services involved in MAPPA and MARAC?

A:

- Service Manager Intake and Interface, Karen Waring.

6.6 How are partnership arrangements led and developed to ensure focus and coherence?

A:

- Include ADSS Cymru, NWSSIC and AWHOCS.
- NWSSIC includes a number of workstreams at Strategic Director and Heads of Service level
- Social care – policy push to work on regional footprint. Don't field one per authority unless we have to. BUT if representing then representation is for all N. Wales at national level.
- Partnership Friday each month. 3 meetings concurrently. Then break and have all business in the afternoon. Try to take common agendas in the afternoon.
- All Wales twice per year. More selective in that respect.

### 13. Further Comments and feedback

- Revisit as we start to implement the structure and get more information about the meeting structures.
- Option to build into service challenge in future.
- Benchmark as service goes live.
- Baseline and set half day workshop in 6 months with senior team. Then someone from that team, to facilitate with the managers.

## Education and Children's Services Test of Assurance Phase 1 Report

### APPENDIX C: Meeting Commitment

The table below shows the meetings formerly attended by the Head of Children and Families services and the Managers who will be responsible for these meetings in future. A full list of all management meetings has also been handed over to service business support.

Meetings attended by Former Head of Children and Families Services		
Meeting Title	New Attendee	Other attendees from E&C services
All Wales Heads of Children's Services (AWHOCS)	Karen Evans	Julie Moss (in KE absence)
Adoption Agency Decision Maker Meeting	Julie Moss	
Conwy & Denbighshire Safeguarding Delivery	Karen Evans (already attends) - joint chair with Kate Devenport (CCBC)	Julie Moss; Colin Tucker
Conwy & Denbighshire Youth Justice Board	Emma Rathbone	
Children & Young People's Partnership	Not replacing (Jo Moore chairs).	James Wood
46 AMHS/CS	Chaired by Julie Moss or Peter Gore Rees.	Julie Moss; Colin Tucker; Karen Waring; Rhian Morrle
Children In Wales	Keep flexible	
Community Safety Strategic Steering Group	Not running (was previously organised by Ken Finch, CCBC)	
Corporate Parenting Forum	Karen Evans (already attends)	Julie Moss, Rhian Morrle
Corporate Safeguarding Panel	Karen Evans (already attends)	Colin Tucker
FF Project Board	James Wood	Jan Jukes Hughes
FF Steering Group	James Wood	Jan Jukes Hughes
FF Strategic	James Wood	Jan Jukes Hughes
JCP (Joint Commissioning Panel)	Karen Evans joint chair with Sue Willis (BCU)	Julie Moss, Rhian Morrle; Jil Timothy
LFJB	Julie Moss	
Implementing the Act Board	Karen Evans	Julie Moss; James Wood; Steph O'Donnell
NW Family Support group	James Wood	Jan Jukes Hughes
NWLFJB	Julie Moss	
Partnership Friday (NWHOCS)	Karen Evans	Nicola Stubbins, Phil Gilroy
PICA	Julie Moss	All service managers (Karen Evans as and when)
RSCB	Nicola Stubbins	
Should be placed	Julie Moss	
SLT	Karen Evans	Julie Moss (in KE absence)

**Education and Children’s Services**  
**Test of Assurance Phase 1 Report**  
**APPENDIX D: Delegated Accountabilities**

Tudalen 47

<b>1. Accountabilities for the Director of Social Services</b>	
The list below is summarised from “Code of Practice on the Role of Directors of Social Services” under Part 8 (Social Services Functions) of the Social Services and Well-being (Wales) Act 2014 issued under section 145 of the Social Services and Well-being (Wales) Act 2014	
1.1	The director of social services must have a sufficient level of seniority to discharge the authority’s social services functions and deliver their accountabilities.
1.2	The director of social services must always be a member of the corporate management team and have direct access, and directly report to, the head of paid service and councillors
1.3	The director of social services must contribute to the vision and direction of the council and ensure services seek to promote the well-being of people with care and support needs
1.4	The director of social services must report directly to the head of paid service.
1.5	The relationship between the head of paid service and the director of social services must be underpinned in governance and delegation documents that should be subject to periodic review
1.6	The director of social services has a responsibility to ensure councillors have clear advice on the level of resources required for a local authority to effectively deliver its social services functions
1.7	The director of social services is accountable for the effective delivery of the local authority’s social services functions and must have regard to the duties under Part 2 of the Social Services and Well-being (Wales) Act 2014 in relation to how the local authority exercises all its social services functions
1.8	The director of social services must raise awareness of their role amongst councillors including in relation to the production of the annual report. The director of social services must ensure that there are clear commitments setting out what information councillors should expect to receive in relation to both the discharge of specific social services functions and wider activities to promote the well-being of people with care and support needs.
1.9	The director of social services must ensure the head of paid service, executive and councillors have access to the best, up-to-date professional advice and information on all aspects of care and support services
1.10	The director of social services must assure the head of paid service and councillors that statutory functions laid on the authority have been carried out, and that proper management information and accurate records are being kept;
1.11	The director of social services must identify and advise councillors on priorities, challenges and risks across all aspects of social services, including circumstances where staffing issues affect the Council’s ability to discharge its statutory responsibilities;
1.12	The director of social services must brief the head of paid service and councillors on high-profile cases and other matters likely to cause public concern

## Education and Children's Services

### Test of Assurance Phase 1 Report

Tudalen 48

1. Accountabilities for the Director of Social Services	
1.13	The director of social services must advise councillors on strategies for improving methods of intervention, service provision, practice and use of resources.
1.14	The director of social services must lead and support continuous engagement and co-operation with inspectorates by all local authority officers in relation to the preparation and undertaking of any performance reviews of local authority social services functions, as well as any other care and support services provided in the local authority area
1.15	The director of social services must report to the council on the detail any inspection report on the performance of the local authority social services. This must include setting out what appropriate action is taken to improve services that promote the well-being of people with care and support needs, or prevent or delay the development of such needs in response to that report
1.16	The director of social services must lead on the development of effective arrangements to promote co-operation and should ensure that any problems of inter-agency co-operation and gaps between services are identified and resolved
1.17	The person appointed as director of social services, or a nominated representative, must be a member of the Regional Partnership Board. The director of social services must ensure their respective Regional Partnership Boards facilitate and promote co-operation to improve the wellbeing of people who need care and support including carers who need support (Part 9)
1.18	The director of social services must ensure that the local authorities and partners develop a strategic approach to prevention. The director of social services must ensure that preventative services are provided or arranged specifically to address the care and support needs identified by the population assessment
1.19	The director of social services must ensure that, in identifying the range and level of services required to respond to care and support needs identified by the population assessment, a co-operative approach to the planning, development, procurement and delivery of services is taken
1.20	The director of social service must ensure the effectiveness of information, advice and assistance services in supporting people to achieve their well-being outcomes
1.21	The director of social services must show leadership to ensure effective safeguarding arrangements are in place both within the local authority and by relevant partners
1.22	The director of social services must oversee and report to councillors, on a consistent basis, regarding the operation, monitoring and improvement of child and adult safeguarding systems within the local authority
1.23	Defined arrangements with other officers within the local authority, particularly the head of adult services and head of children services must be clear in relation to delegation and reporting arrangements related to safeguarding issues
1.24	The director of social services must support effective partnership working and ensure safeguarding duties are effectively discharged collaboratively by Safeguarding Boards.
1.25	The director of social services must provide leadership and demonstrate a strategy to manage risk confidently and effectively cooperate with the full range of partners to work with families at the 'edge of care', making sure that needs are accurately assessed and met, so that only the right children are accommodated at the right time
1.26	The director of social services must ensure strategic arrangements are in place to provide for co-operation across the local authority and with partners for effective provision of care and support services for all Looked After Children



## Education and Children's Services

### Test of Assurance Phase 1 Report

<b>1. Accountabilities for the Director of Social Services</b>	
1.27	The director of social services has a strategic leadership role to ensure high standards across the whole social care workforce, including the public and independent sectors. The director must ensure a whole sector workforce plan is in place
1.28	The director of social services should promote collaborative workforce learning through networks and relationships with other bodies including education and training providers
1.29	The director of social services must ensure the local authority has overarching personnel and safe recruitment policies supporting the requirements for a social care workforce to provide effective care and support services
1.30	The director of social services must advise councillors, partners and other providers where workforce shortfalls inhibit the local authority's capacity to discharge statutory responsibilities and set out actions necessary to rectify these issues
1.31	The director of social services must prepare and publish an annual report about the exercise of the local authority's social services functions. To ensure effective accountability, the annual report must be presented to the council by the director of social services
1.32	The individual designated as the director of social services may simultaneously undertake other roles within the local authority, including lead director for children and young people. The lead director for children and young people's services role is to co-ordinate and oversee arrangements to improve the well-being of children in the local authority area
1.33	Whilst responsibility for the delivery of certain social services functions may, for example, be placed with heads of services for adults and heads of service for children and families, accountability for these functions still rests with the director of social services

## Education and Children's Services

### Test of Assurance Phase 1 Report

Tudalen 50

2. Accountabilities, Director Lifelong Learning (Delegated to Head of Education and Children's services)	
<b>2.1</b>	The making of arrangements in relation to appeals against the exclusion of pupils in maintained schools under Section 52 of the Education Act 2002.
<b>2.2</b>	The making of arrangements pursuant to Section 94(1), (1A) and (4) of, and Schedule 24 to, the School Standards and Framework Act 1998 (admission appeals)
<b>2.3</b>	The making of arrangements pursuant to Section 95(2) of the School Standards and Framework Act 1998 (Children to whom Section 87 applies: appeals by governing bodies).
<b>2.4</b>	To act as the Statutory Director of Education appointed under s.532 of the Education Act 1996 or any re-enactment of that provision.
<b>2.5</b>	The strategic and operational management responsibility for Education services is delegated to the Corporate Director (Learning and Communities) as the Statutory Director.
<b>2.6</b>	As Statutory Director to maintain an overview of the full range of education services within the Authority and as the Officer responsible for the quality of services provided to fulfil the authority's education functions.
<b>2.7</b>	As Statutory Director to report to the Cabinet, Lead Members and Scrutiny and other relevant Committees in relation to the planning, delivery and performance of the Councils Education functions and be accountable for the oversight and co-ordination of such functions.
<b>2.8</b>	To be responsible for the reporting and communicating directly with the Welsh Government and (Estyn) on education matters and the development and maintenance of productive relationships with other related sectors and agencies.
<b>2.9</b>	To act as an Authorised Officer under the Regulation of Investigatory Powers Act 2000.
<b>2.10</b>	To keep the Statutory Director of Social Services apprised of key corporate decisions/actions which will impact or have possible implications for their Statutory Officer role.
<b>2.11</b>	Jointly with the Head of School Improvement and Inclusion, to grant and revoke licences to children of compulsory school age regarding child performances in accordance with the Children and Young Persons Act 1963 and the Children's (Performance) Regulations 1968 and any statutory modification thereof.
<b>2.12</b>	To supervise, prohibit and/or restrict the employment of children of compulsory school age pursuant to the Education Act 1996.

## Education and Children's Services

### Test of Assurance Phase 1 Report

Tudalen 51

2. Accountabilities, Director Lifelong Learning (Delegated to Head of Education and Children's services)	
<b>2.13</b>	<p>To act as the Statutory Lead Director for Children and Young People's Services under s.27 of the Children Act 2004.</p> <p>- As Statutory Lead Director for Children and Young People to maintain an overview of the full range of children and young peoples' services and activities within the Authority and as the Officer responsible for the quality of services provided to fulfil the authority function including the following core responsibilities</p> <ul style="list-style-type: none"> <li>• Ensuring effective cross sector partnership arrangements to improve the wellbeing of children and young people.</li> </ul> <p>As an LSB Member.</p> <ul style="list-style-type: none"> <li>• Ensuring planning for children, young people and their families is seen as a corporate and cross sector activity embedded in the achievement of agreed corporate and public sector priorities.</li> <li>• Ensuring planning is increasingly harmonized across North Wales, in conjunction with other Lead Directors.</li> </ul> <p>Production and publication of children and young people's plan.</p> <ul style="list-style-type: none"> <li>• Ensuring Denbighshire's Big Plan meets statutory requirements relating to children and young people's planning.</li> </ul> <p>Clear governance arrangements for partnership planning, a focus on outcome measures and regular performance management.</p> <ul style="list-style-type: none"> <li>• Ensuring effective mechanisms are in place to deliver jointly agreed outcomes for children and young people.</li> <li>• Leading the inspection processes relating to Children and Young Peoples' Partnership activity.</li> </ul> <p>Attention to implementation of the UN Convention on the Rights of the Child</p> <ul style="list-style-type: none"> <li>• Championing children's rights across the Council, including the right of children and young people to have their voices heard.</li> <li>• Ensuring that the participation of children and young people is embedded in formal and informal education settings.</li> </ul>
<b>2.14</b>	Jointly with the Head of Finance and Assets, to suspend the right of the governing body to have a delegated budget in circumstances permitted by the legislation.
<b>2.15</b>	In consultation with the Head of School Improvement and Inclusion, to monitor and evaluate the performance of schools.
<b>2.16</b>	To deal with nominations for Local Education Authority governors, making an appointment in instances where a single suitable nomination is received for any vacancy or otherwise reporting to the Cabinet (or Lead Member as appropriate) for determination and appointment.
<b>2.17</b>	To establish temporary governing bodies.
<b>2.18</b>	To make necessary arrangements for the election of parent governors, teacher and staff governors and to determine any questions arising from the election process.
<b>2.19</b>	To consider any resolutions sent to him/her from an annual parents meeting and to respond accordingly.
<b>2.20</b>	To manage governor training.

## Education and Children's Services

### Test of Assurance Phase 1 Report

Tudalen 52

2. Accountabilities, Director Lifelong Learning (Delegated to Head of Education and Children's services)	
<b>2.21</b>	To act on behalf of the Local Education Authority in any consultations initiated by the governors of any school, in relation to the times of school sessions and, if he/she considered it appropriate to do so, to require the governors to include his/her written comments on the proposals in the next governors' report to be prepared by the governors.
<b>2.22</b>	To determine and deal with all arrangements for the admission of pupils to community and voluntary controlled schools in accordance with the Council's policy, including authority to:- <ul style="list-style-type: none"> <li>• publicise information for parents of admission arrangements.</li> <li>• comply with parental preferences, with certain exceptions.</li> <li>• determine allocations of pupils to community and voluntary controlled primary and secondary schools, subject to the parental right of appeal.</li> </ul>
<b>2.23</b>	To make arrangements to enable parents to appeal against decisions regarding admissions.
<b>2.24</b>	To appear or make written representations on behalf of the Authority in any appeal against a refusal to admit.
<b>2.25</b>	To respond to changes in pupil numbers by making appropriate accommodation available.
<b>2.26</b>	Subject to such determination being in accordance with an approved plan or policy, to determine whether to publish any statutory notices (other than in respect of closure of schools) and to take action on advertised proposals in light of any representations received and also to determine the Authority's decision in respect of school organisational proposals and school closure proposals in respect of which either there has been no objections or any objections received have been resolved.
<b>2.27</b>	To undertake any inspections, interviews, investigations, seizures, services of notices, notifications, authorisations, registrations and legal proceedings as are within the purview of the department under the Education Reform Act 1988, together with any regulations made thereunder, any amendments or additions thereto and to exercise all relevant powers of entry if provided.
<b>2.28</b>	To determine applications and provide, where applicable, milk, meals and refreshments in accordance with the Council's policy.
<b>2.29</b>	To act on behalf of the LEA in any consultations initiated by the governors of any school, in relation to the times of school sessions, and if he/she considered it appropriate to do so, to require the governors to include his/her written comments on the proposals in the next governors' report to be prepared by the governors.
<b>2.30</b>	To appoint sufficient education practitioners and governors in accordance with the arrangements who may be called upon to be required to serve as members on future independent Appeal Panels.
<b>2.31</b>	To investigate complaints made under section 409 of the Education Act 1996
<b>2.32</b>	To determine any matters relating to the Councils policy regarding charges and remissions and to authorise the recovery of any sums owed to the Council.
<b>2.33</b>	To approve the acceptance of gifts on trust for education purposes.

## Education and Children's Services

### Test of Assurance Phase 1 Report

2. Accountabilities, Director Lifelong Learning (Delegated to Head of Education and Children's services)	
<b>2.34</b>	To determine, where necessary in consultation with the trustee, applications received for financial support from charitable trust funds where the Authority is either itself trustee, or where the fund is administered on behalf of trustees.
<b>2.35</b>	To respond to changes in pupil numbers by making appropriate accommodation available.
<b>2.36</b>	To direct the use of school premises in the County and voluntary schools for community use outside school hours.
<b>2.37</b>	To monitor and evaluate the provision and performance of schools.
<b>2.38</b>	To monitor the curriculum in all maintained schools and report on it as necessary.
<b>2.39</b>	To set by agreement with schools, targets for pupil attainment.
<b>2.40</b>	To prepare a written statement of action to be taken in light of the report following an inspection of a maintained school.
<b>2.41</b>	To intervene to prevent the breakdown or continuing breakdown of discipline at a school, or where there is concern about standards of management.
<b>2.42</b>	To ensure that the performance management of teachers and head teachers is carried out according to Welsh Government directions and regulations and to monitor and evaluate the provision and performance of schools.
<b>2.43</b>	To investigate complaints made under Section 409 of the Education Act 1996.
<b>2.44</b>	To make or approve arrangements for the provision of work experience for pupils in their last year of schooling.
<b>2.45</b>	To manage and operate the Education Psychology Service.
<b>2.46</b>	To arrange appeals against exclusions and redirect excluded pupils
<b>2.47</b>	To make arrangements to encourage and assist pupils to take advantage of the provisions for medical and dental inspections and treatment made for them.
<b>2.48</b>	To ensure cleanliness of pupils and to serve a notice on parents requiring cleanliness where appropriate.
<b>2.49</b>	To manage all aspects of schools without delegated budgets
<b>2.50</b>	To inspect and maintain schools for the purposes of a Local Education Authority function.
<b>2.51</b>	To authorise persons at educational establishments to exercise the power of removal of persons from school premises who are causing a nuisance or disturbance.
<b>2.52</b>	To authorise Officers to appear on behalf of the Local Education Authority in proceedings being conducted in the Magistrates Court by Section 547 of the Education Act 1996 or any re-enactment of that provision.
<b>2.53</b>	To consider any resolutions sent to him/her from an annual parents meeting and to respond accordingly.

Tudalen 53

## Education and Children's Services

### Test of Assurance Phase 1 Report

Tudalen 54

2. Accountabilities, Director Lifelong Learning (Delegated to Head of Education and Children's services)	
<b>2.54</b>	To deal with the staffing matters of community voluntary controlled and community special schools where the decision is that of the LA (rather than the governing body).
<b>2.55</b>	To determine the school term and holiday dates including in service training days for any community, community special or voluntary controlled schools.
<b>2.56</b>	To exercise powers under the Education Acts in accordance with the Code of Practice, to identify, assess and arrange provision for pupils special educational needs, including the admission of pupils to out of county schools (including non-maintained special schools and independent schools providing for pupils with special education needs) and transport where appropriate, in accordance with the Council's Transport Policies.
<b>2.57</b>	To provide aids for use by pupils with special needs
<b>2.58</b>	To authorise officers to represent the Education Authority in tribunal proceedings dealing with special educational needs.
<b>2.59</b>	To make arrangements for the provision of suitable education otherwise than in school, in accordance with Section 319 of the Education Act 1996.
<b>2.60</b>	To make arrangements for the provision of suitable education at school or otherwise for children of compulsory school age who, by reason of illness, exclusion from school or otherwise, may not receive it unless such arrangements were made.
<b>2.61</b>	To recoup the costs of providing education for persons not belonging to the Council's own area.
<b>2.62</b>	To recoup the costs of providing education for persons not belonging to the Council's own area.
<b>2.63</b>	To ensure the provision of statutory youth services jointly with the Head of Leisure, Libraries and Community Development.
<b>2.64</b>	Jointly with the Statutory Director of Education to grant and revoke licences to children of compulsory school age regarding child performances in accordance with the Children and Young Persons Act 1963 and the Children's (Performance) Regulations 1968 and any statutory modification thereof.
<b>2.65</b>	To supervise, prohibit and/or restrict the employment of children of compulsory school age pursuant to the Education Act 1996.
<b>2.66</b>	To manage the provision of the youth support services in pursuance of the Learning and Skills Act 2000 in consultation with the Head of Leisure, Libraries and Community Development
<b>2.67</b>	To exercise those functions of the Council which relate to Children and Young People under the Crime and Disorder Act 1998 (as amended or re-enacted).
<b>2.68</b>	To give directions to admit a child to a specified school.
<b>2.69</b>	To undertake any inspections, interviews, investigations, seizures, services of notices, notifications, authorisations, registrations and legal proceedings as are within the purview of the department under the Education Reform Act 1988, together with any regulations made thereunder, any amendments or additions thereto and to exercise all relevant powers of entry if provided.

**Education and Children’s Services**  
**Test of Assurance Phase 1 Report**

2. Accountabilities, Director Lifelong Learning (Delegated to Head of Education and Children’s services)	
<b>2.70</b>	To exercise powers under the Education Act 2002 s.29(5) in respect of health and safety directions to governing bodies where the local authority is the employer.
<b>2.71</b>	To act as the Deputy Statutory Officer for Education in the absence of, or inability to act, by the Statutory Director of Education.
<b>2.72</b>	To ensure all relevant Officers (and volunteers if relevant) are subject to the provisions (including any vetting and barring procedures) of the Safeguarding Vulnerable Groups Act 2006 and any subsequent amendment or regulations made under it.

Mae tudalen hwn yn fwiadol wag



Test of Assurance for Joining Education  
and Children's services  
21 February 2016

Equality Impact Assessment

# Joining Education and Children's Services as a single organisational unit, Education and Children's services

Contact: Steph O'Donnell

Updated: 21.02.2016

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

A service review or re-organisation proposal

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

The aim of the over-arching project was to bring two services together as a new organisational unit, under a single Head of Service. The new service is called Education and Children's services. The management structure has been affected by the change, following a full period of consultation from August – September 2015. Children and Young people throughout Denbighshire will benefit from bringing the two services together as they will act in a more cohesive way to ensure young people and children are safe, protected from harm, and supported to achieve their potential through all educational and social opportunities.

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

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

Yes

## 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)*

### 4.1 Staff in Both Services

The management structure was agreed in principle by July 2015. This did not entail any job losses or posts being re-graded. However, some posts which had previously reported through the Head of Service would now report through 2

Principal Manager posts. A period of consultation took place from August - September 2015 and all affected staff were given the opportunity to meet with senior management and HR. Responses were made quickly to all questions and enquiries. New Principal manager post in Education was advertised and filled internally by January 2016. The feedback on the consultation was generally very positive.

#### 4.2 Children and Young People

The impact of the changes for this group is expected to be positive. Through improved collegiate working and development of joint opportunities across Education and Social care, it should be possible to offer better support to all young people and, in particular, more vulnerable groups. This is already reaping benefits in sharing understanding of safeguarding and the responsibilities entailed.

- 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)*

Children and Young people, as stated under part 4, should see improved and joined up service provision. The needs of disabled children will also be considered more holistically by the service.

- 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)?**

None anticipated. However, the new service has a much broader remit than in the past and it is recognised under the risk analysis, that an ongoing focus on workload, particularly the demands of external meetings, will be needed to ensure the right focus can be maintained by senior managers.

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

<Please Select>

Initially, the staff consultation was scheduled to conclude in late August. However, it was recognised that this deadline needed to be extended due to school support staff holidays. This ensured a fair response time for all staff affected.

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

Yes	Yes, in the Risk Mitigation.
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Action(s)	Owner	By when?
Ongoing review of delegated accountabilities and impact on managers - through management meetings	Karen Evans	31.03.2017
Ongoing review of formal meeting attendance and potential impact on staff and service delivery - also through management meetings	Karen Evans	31.03.2017
Ongoing review of retained service manager vacancy in Children's services	Julie Moss	31.03.2017

**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:	31.07.2016
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Name of Lead Officer for Equality Impact Assessment	Date
Steph O'Donnell	21.02.2016

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

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WALES AUDIT OFFICE  
SWYDDFA ARCHWILIO CYMRU

## Adroddiad Gwella Blynyddol 2015-16

### Cyngor Sir Ddinbych

Cyhoeddwyd: Mawrth 2016  
Cyfeirnod y ddogfen: 214A2016



Paratowyd yr Adroddiad Gwella Blynyddol hwn ar ran  
Archwilydd Cyffredinol Cymru gan Gwilym Bury, Siân Clark,  
Fflur Jones a Jeremy Evans o dan gyfarwyddyd Jane Holownia.

**Huw Vaughan Thomas**  
**Archwilydd Cyffredinol Cymru**  
**Swyddfa Archwilio Cymru**  
**24 Heol y Gadeirlan**  
**Caerdydd**  
**CF11 9LJ**

Mae'r Archwilydd Cyffredinol yn annibynnol ar y llywodraeth a chaiff ei benodi gan Ei Mawrhydi y Frenhines. Mae'r Archwilydd Cyffredinol yn ymgymryd â'i waith gan ddefnyddio staff ac adnoddau eraill a ddarperir gan Fwrdd Swyddfa Archwilio Cymru, sef bwrdd statudol a sefydlwyd at y diben hwnnw ac er mwyn monitro a chynghori'r Archwilydd Cyffredinol. Mae Swyddfa Archwilio Cymru yn atebol i'r Cynulliad Cenedlaethol.

Mae'r Archwilydd Cyffredinol yn archwilio cyrff llywodraeth leol yng Nghymru, gan gynnwys awdurdodau unedol, yr heddlu, gwasanaethau prawf, awdurdodau tân ac achub, parciau cenedlaethol a chynghorau cymuned. Mae hefyd yn cynnal astudiaethau gwerth am arian llywodraeth leol ac yn asesu cydymffurfiaeth â gofynion Mesur Llywodraeth Leol (Cymru) 2009.

Y tu hwnt i lywodraeth leol, yr Archwilydd Cyffredinol yw archwilydd allanol Llywodraeth Cymru a'r cyrff a noddir ganddi a'i chyrrff cyhoeddus cysylltiedig, Comisiwn y Cynulliad a chyrrff y Gwasanaeth Iechyd Gwladol yng Nghymru.

Mae'r Archwilydd Cyffredinol a staff Swyddfa Archwilio Cymru yn anelu at ddarparu adroddiadau cymesur sy'n canolbwyntio ar y cyhoedd ar stiwardiaeth adnoddau cyhoeddus a thrwy wneud hynny, feithrin dealltwriaeth a hyrwyddo gwelliant.

# Cynnwys

<b>Adroddiad cryno</b>	<b>4</b>
Yr adroddiad hwn	4
Gwaith archwilio perfformiad 2015-16	5
Mae'r Cyngor, gyda threfniadau rheoli a chraffu ariannol cadarn, yn parhau i wneud cynnydd o ran cyflawni gwelliannau yn y rhan fwyaf o'i feysydd â blaenoriaeth	6
Argymhellion	6
<b>Adroddiad manwl</b>	<b>8</b>
Perfformiad Yn gyffredinol, gwnaeth y Cyngor gynnydd da o ran mynd i'r afael â thangyflawni a gofnodwyd yn y gorffennol, ac mae'n parhau i ddarparu gwasanaethau o ansawdd uchel ond erys pryderon ynghylch diogelu oedolion sy'n agored i niwed	9
Y defnydd o adnoddau Mae gan y Cyngor drefniadau rheoli ariannol priodol ond mae angen iddo atgyfnerthu ei ddull o gynhyrchu incwm	19
Llywodraethu Mae trefniadau craffu'r Cyngor yn ategu proses gwneud penderfyniadau gadarn ac mae prosesau corfforaethol digonol ganddo i ymateb i adroddiadau ac argymhellion gan reoleiddwyr allanol	22
<b>Atodiadau</b>	
Atodiad 1 – Statws yr adroddiad hwn	25
Atodiad 2 – Llythyr Archwilio Blynyddol	26
Atodiad 3 – Argymhellion Adroddiadau Cenedlaethol 2015-16	28



# Adroddiad cryno

## Yr adroddiad hwn

- 1 Mae'r Adroddiad Gwella Blynyddol hwn yn crynhoi'r gwaith archwilio a wnaed yng Nghyngor Sir Ddinbych (y Cyngor) ers cyhoeddi'r adroddiad diwethaf o'r fath ym mis Gorffennaf 2015. Mae'r adroddiad hwn hefyd yn cynnwys crynodeb o ganfyddiadau allweddol o adroddiadau a gyhoeddwyd gan 'reoleiddwyr perthnasol', sef: Arolygiaeth Gofal a Gwasanaethau Cymdeithasol Cymru (AGGCC); Arolygiaeth Ei Mawrhydi dros Addysg a Hyfforddiant yng Nghymru (Estyn); a Chomisiynydd y Gymraeg. Serch hynny, nid yw'r adroddiad hwn yn adolygiad cynhwysfawr o holl drefniadau neu wasanaethau'r Cyngor. Mae'r casgliadau a geir yn yr adroddiad hwn yn seiliedig ar y gwaith a gyflawnwyd o fewn y Cyngor gan gyrrff adolygu allanol perthnasol ac, oni nodir fel arall, yn adlewyrchu'r sefyllfa ar yr adeg pan gafodd gwaith o'r fath ei gwblhau.
- 2 Gan ystyried y gwaith a gyflawnwyd yn ystod 2015-16, bydd yr Archwilydd Cyffredinol yn nodi, yn yr adroddiad hwn, a yw o'r farn y bydd y Cyngor yn debygol o wneud trefniadau i sicrhau gwelliant parhaus ar gyfer 2016-17.
- 3 Ni ddylid ystyried bod y datganiad hwn yn rhoi barn bendant am sefyllfa sefydliad nac yn rhagfynegi ei lwyddiant yn y dyfodol. Yn hytrach, dylid ystyried ei fod yn rhoi barn am y graddau y mae'r trefniadau sydd ar waith ar hyn o bryd yn rhesymol gadarn i'r graddau y gellir nodi hynny ar sail y gwaith a gyflawnwyd.
- 4 Rydym am wybod a yw'r adroddiad hwn yn rhoi'r wybodaeth sydd ei hangen arnoch ac a yw'n hawdd ei ddeall. Gallwch fynegi eich barn drwy anfon e-bost atom yn [post@archwilio.cymru](mailto:post@archwilio.cymru) neu ysgrifennu atom yn 24 Heol y Gadeirlan, Caerdydd, CF11 9LJ.



## Gwaith archwilio perfformiad 2015-16

- 5 Nodir y gwaith a gyflawnwyd ers yr Adroddiad Gwella Blynyddol diwethaf, gan gynnwys gwaith y 'rheoleiddwyr perthnasol', isod.

Enw'r Prosiect	Disgrifiad byr
<b>Asesiad Cydnerthedd Ariannol Swyddfa Archwilio Cymru</b>	Adolygiad o sefyllfa ariannol y Cyngor a sut mae'n cyllidebu ac yn cyflawni arbedion gofynnol.
<b>Archwiliad 'Cynllun Gwella' Blynyddol Swyddfa Archwilio Cymru</b>	Adolygiad o gynlluniau cyhoeddedig y Cyngor ar gyfer cyflawni amcanion gwella.
<b>Archwiliad o 'Asesiad o Berfformiad' Blynyddol Swyddfa Archwilio Cymru</b>	Adolygiad o asesiad o berfformiad cyhoeddedig y Cyngor, gan gynnwys profi a dilysu gwybodaeth am berfformiad.
<b>Rheoli Perfformiad Swyddfa Archwilio Cymru: Meincnodi costau gwasanaethau cymdeithasol yn erbyn perfformiad</b>	Adolygiad ledled cynghorau Gogledd Cymru i ymchwilio i werth dangosyddion perfformiad y gwasanaethau cymdeithasol cyfredol a'r cysylltiadau, os o gwbl, â chostau.
<b>Rheoli Perfformiad Swyddfa Archwilio Cymru: Adolygu dull y Cyngor o ymdrin â darparwyr gwasanaethau amgen</b>	Adolygiad o drefniadau'r Cyngor i ddethol, gweithredu a monitro modelau amgen ar gyfer darparu gwasanaethau yn llwyddiannus.
<b>Llywodraethu Swyddfa Archwilio Cymru: Adolygiad o'r trefniadau craffu</b>	Adolygiad o drefniadau craffu'r Cyngor a'u heffeithiolrwydd.
<b>AGGCC: Adolygiad o drefniadau diogelu plant sy'n derbyn gofal mewn gofal maeth</b>	Asesiad o effeithiolrwydd gwasanaethau'r Cyngor ar gyfer plant sy'n derbyn gofal mewn gofal maeth.
<b>AGGCC: Adolygiad o berfformiad yr Adran Gwasanaethau Cymdeithasol yn 2014-15</b>	Asesiad o berfformiad Adran Gwasanaethau Cymdeithasol y Cyngor.
<b>Comisiynydd y Gymraeg: Adolygiad o Gynllun Iaith Gymraeg y Cyngor</b>	Asesiad o effeithiolrwydd y Cynllun wrth ddarparu gwasanaethau i'r cyhoedd yn Gymraeg.
<b>Gwaith dilynol Swyddfa Archwilio Cymru</b>	Sicrwydd bod gan y Cyngor brosesau corfforaethol priodol ar waith ar gyfer ymateb i adroddiadau, olrhain y modd y caiff argymhellion eu gweithredu a chyflwyno adroddiadau ar hyn i'r pwyllgor priodol.
<b>Adroddiadau Cenedlaethol Swyddfa Archwilio Cymru</b>	<ul style="list-style-type: none"> <li>• Cydnerthedd ariannol cynghorau yng Nghymru</li> <li>• Partneriaethau Diogelwch Cymunedol</li> <li>• Cynhyrchu incwm a chodi tâl</li> <li>• Trefniadau'r Cyngor ar gyfer ariannu gwasanaethau trydydd sector</li> </ul>

## Mae'r Cyngor, gyda threfniadau rheoli a chraffu ariannol cadarn, yn parhau i wneud cynnydd o ran cyflawni gwelliannau yn y rhan fwyaf o'i feysydd â blaenoriaeth

- 6 Yn seiliedig ar y gwaith a wnaed gan Swyddfa Archwilio Cymru a rheoleiddwyr perthnasol, ac yn gyfyngedig i'r gwaith hwnnw, cred yr Archwilydd Cyffredinol fod y Cyngor yn debygol o gydymffurfio â gofynion y Mesur a sicrhau gwelliant yn ystod 2016-17. Mae'r Archwilydd Cyffredinol wedi dod i'r casgliad hwn am y rhesymau canlynol:
- yn gyffredinol, gwnaeth y Cyngor gynnydd da o ran mynd i'r afael â thangyflawni a gofnodwyd yn y gorffennol, ac mae'n parhau i ddarparu gwasanaethau o ansawdd uchel ond erys pryderon ynghylch diogelu oedolion sy'n agored i niwed;
  - mae gan y Cyngor drefniadau rheoli ariannol priodol ond mae angen iddo atgyfnerthu ei ddull o gynhyrchu incwm; ac
  - mae trefniadau craffu'r Cyngor yn ategu proses gwneud penderfyniadau gadarn ac mae prosesau corfforaethol digonol ganddo i ymateb i adroddiadau ac argymhellion gan reoleiddwyr allanol.

## Argymhellion

- 7 O ystyried yr ystod eang o wasanaethau a ddarperir gan y Cyngor a'r heriau y mae'n eu hwynebu, byddai'n anarferol pe na baem wedi dod o hyd i bethau y gellir eu gwella. Gall yr Archwilydd Cyffredinol:
- wneud cynigion ar gyfer gwella - os caiff cynigion eu gwneud i'r Cyngor, byddem yn disgwyl iddo weithredu arnynt a byddwn yn gwneud gwaith dilynol ar yr hyn sy'n digwydd;
  - gwneud argymhellion ffurfiol ar gyfer gwella - os caiff argymhelliad ffurfiol ei wneud, mae'n rhaid i'r Cyngor baratoi ymateb i'r argymhelliad hwnnw o fewn 30 diwrnod gwaith;
  - cynnal arolygiad arbennig a chyhoeddi adroddiad a gwneud argymhellion; ac
  - argymhell y dylai Gweinidogion Llywodraeth Cymru ymyrryd mewn rhyw ffordd.

- 8 Yn ystod y flwyddyn, ni wnaeth yr Archwilydd Cyffredinol unrhyw argymhellion ffurfiol. Fodd bynnag, ceir materion â llai o flaenoriaeth, a elwir yn gynigion ar gyfer gwella, yn ein hadroddiadau eraill ond gellir cyfeirio atynt yn ddiweddarach yn yr adroddiad hwn. Byddwn yn parhau i fonitro cynigion ar gyfer gwella yn ystod ein gwaith asesu gwelliant. Fodd bynnag, mae'n gwneud argymhellion a all fod yn berthnasol i'r Cyngor yn ei Adroddiadau Cenedlaethol ar Lywodraeth Leol. Ceir rhestr o argymhellion mewn adroddiadau a gyhoeddwyd yn 2015-16 yn **Atodiad 3**.
- 9 Yn ogystal, nododd Arolygiaeth Gofal a Gwasanaethau Cymdeithasol Cymru (AGGCC) a Chomisiynydd y Gymraeg feysydd i'w gwella yn eu hadroddiadau arolygu a'r llythyrau a gyhoeddwyd ganddynt i'r Cyngor yn ystod y flwyddyn. Gellir eu gweld yn [www.aggcc.org.uk](http://www.aggcc.org.uk) a [www.comisiynyddygyymraeg.cymru](http://www.comisiynyddygyymraeg.cymru).
- 10 Ni chyflwynodd Estyn unrhyw adroddiadau arolygu i'r Cyngor yn ystod 2014-15.

# Adroddiad manwl



# Perfformiad

Yn gyffredinol, gwnaeth y Cyngor gynnydd da o ran mynd i'r afael â thangyflawni a gofnodwyd yn y gorffennol, ac mae'n parhau i ddarparu gwasanaethau o ansawdd uchel ond erys pryderon ynghylch diogelu oedolion sy'n agored i niwed

## Gwerthusiad Estyn o berfformiad ysgolion

- 11 Mae cyfran y disgyblion sy'n gymwys i gael prydau ysgol am ddim yn Sir Ddinbych ond ychydig uwchlaw cyfartaledd Cymru. Ystyrir hyn wrth werthuso'r perfformiad yn yr awdurdod.
- 12 Mae cyfran y disgyblion sy'n cyflawni dangosydd y Cyfnod Sylfaen<sup>1</sup> a dangosydd y pwnc craidd yng nghyfnod allweddol 2 wedi gwella dros y tair blynedd diwethaf, ond ar gyfradd arafach na chyfartaledd Cymru. Ar gyfer y ddau ddangosydd, mae perfformiad yn 2015 oddeutu cyfartaledd Cymru.
- 13 Yng nghyfnod allweddol 3, mae cyfran y disgyblion sy'n cyflawni dangosydd y pwnc craidd yng nghyfnod allweddol 3 wedi gwella dros y tair blynedd diwethaf ar gyfradd gyflymach na chyfartaledd Cymru, ac mae'n unol â meincnod Llywodraeth Cymru ar gyfer perfformiad yn 2015.
- 14 Yng nghyfnod allweddol 4, mae canran y disgyblion sy'n cyflawni trothwy lefel 2 gan gynnwys Saesneg neu Gymraeg iaith gyntaf a mathemateg a'r sgôr pwyntiau cyfartalog wedi'i chapio wedi gwella dros y blynyddoedd diwethaf, ond ar gyfradd arafach na chyfartaledd Cymru. Yn 2015, roedd perfformiad yn y dangosydd lefel 2 gan gynnwys Saesneg neu Gymraeg a mathemateg islaw'r targed a bennwyd gan Lywodraeth Cymru. Mae'r sgôr pwyntiau cyfartalog wedi cyflawni targedau meincnod Llywodraeth Cymru ar gyfer y tair blynedd diwethaf.
- 15 Yn y rhan fwyaf o'r dangosyddion ar gyfer ysgolion cynradd ac uwchradd, mae perfformiad disgyblion sy'n gymwys i gael prydau ysgol am ddim islaw cyfartaledd Cymru. Ar gyfer dwy o'r tair blynedd diwethaf, mae presenoldeb mewn ysgolion cynradd wedi bod yn well na phresenoldeb mewn awdurdodau tebyg. Yn 2015, roedd presenoldeb islaw cyfartaledd Cymru. Mewn ysgolion uwchradd, mae presenoldeb wedi bod islaw cyfartaledd Cymru ers y tair blynedd diwethaf.

<sup>1</sup> Mae dangosydd y Cyfnod Sylfaen yn cyfeirio at ganran y disgyblion sy'n cyflawni'r perfformiad disgwylidiedig (canlyniad lefel 5) mewn tri maes dysgu yn y Cyfnod Sylfaen: llythrennedd, iaith a chyfathrebu mewn Saesneg neu Gymraeg iaith gyntaf; datblygiad mathemategol; a datblygiad personol a chymdeithasol, lles ac amrywiaeth ddiwylliannol.

Mae dangosydd y pwnc craidd yn cyfeirio at ganran y disgyblion sy'n cyflawni'r lefel y disgwylir iddynt ei chyflawni mewn mathemateg, gwyddoniaeth a naill ai Saesneg neu Gymraeg fel iaith gyntaf. Mae hyn yn cyfateb i lefel 4 neu uwch yng nghyfnod allweddol 2 a lefel 5 neu uwch yng nghyfnod allweddol 3. Mae'r dangosyddion perfformiad ar gyfer cyfnodau allweddol 2 a 3 yn y Cyfnod Sylfaen yn seiliedig ar asesiad athrawon. Mae'r dangosyddion perfformiad ar gyfer cyfnod allweddol 4 yn seiliedig ar gymwysterau a ddilyswyd yn allanol fel TGAU.

Yn gyffredinol, mae gwasanaethau cymdeithasol y Cyngor yn perfformio'n dda ond mae diogelu oedolion sy'n agored i niwed ac ansawdd llawer o asiantaethau gofal cartref yn parhau i beri pryder

- 16 Cyhoeddodd AGGCC ei Hadolygiad a Gwerthusiad Blynyddol o Berfformiad 2014/2015 ym mis Hydref 2015 ac mae ar gael ar [wefan AGGCC](#).
- 17 Canfu AGGCC fod y Cyngor wedi parhau i wneud cynnydd da o ran ei gynllun pum mlynedd i foderneiddio ei wasanaethau cymdeithasol a fydd yn cynnwys trawsnewid patrwm gwasanaethau gofal cymdeithasol, yn ogystal â newid ffurf y gweithlu a gyflogir i ddarparu gofal a chymorth. Cred y Cyngor y bydd newid diwylliannol yn ei helpu i baratoi ar gyfer rhoi Deddf Gwasanaethau Cymdeithasol a Llesiant (Cymru) 2014 ar waith ac ar gyfer darparu gwasanaethau cymdeithasol cynaliadwy. Caiff aelodau etholedig a staff eu briffio'n dda ac maent yn deall goblygiadau'r Ddeddf. Roedd gwaith paratoi ar gyfer hyn yn ystod y flwyddyn yn cynnwys ad-drefnu'r seilwaith o uwch reolwyr, gan greu adran newydd ar gyfer gwasanaethau cymorth cymunedol yn ymgorffori gwasanaethau cymdeithasol oedolion a gwasanaethau digartrefedd, ac uno gofal cymdeithasol plant ag addysg hefyd i greu un adran ar ddechrau 2016.
- 18 Mae'r Cyngor yn parhau i ymgysylltu â phobl sy'n defnyddio ei wasanaethau a nodu AGGCC fod y Cyngor hefyd wedi rhoi proses gadarn ar waith i gasglu profiadau a safbwyntiau pobl ifanc gan gynnwys defnydd cadarn o gyfryngau cymdeithasol. Canfu'r AGGCC hefyd fod y Cyngor yn parhau i ddangos ymrwymiad, creadigrwydd a phragmatiaeth yn ei ymateb i 'Mwy Na Geiriau'<sup>2</sup>, gyda thystiolaeth glir o gynnydd rhagorol yn cael ei wneud yn ystod y flwyddyn a ddangosir drwy arweinyddiaeth strategol, gwaith hyrwyddo, mynediad dwyieithog i bobl a hyfforddiant i'r gweithlu wedi'u cynllunio i wella ymwybyddiaeth a chynyddu nifer y bobl sy'n defnyddio'r Gymraeg, ac i wella hygyrchedd gwasanaethau cymdeithasol yn yr iaith ofynnol.
- 19 Mae'r Cyngor yn parhau i wynebu newidiadau demograffig sylweddol o fewn hinsawdd ariannol ansicr. Canfu AGGCC dystiolaeth bwerus fod y Cyngor wedi mabwysiadu dull gweithredu strategol er mwyn ymateb i'r heriau hyn. Mae'r Cyngor yn darparu arweinyddiaeth gadarn mewn perthynas â hyrwyddo annibyniaeth. Mae cyfarfodydd herio gwasanaethau blynyddol a threfniadau llywodraethu corfforaethol a gynhelir drwy gydol y flwyddyn yn adlewyrchu diwylliant yn y Cyngor o graffu'n effeithiol ar berfformiad gofal cymdeithasol ym maes gwasanaethau plant a gwasanaethau oedolion.

2 Cyhoeddwyd **Mwy na geiriau: Fframwaith Strategol ar gyfer Hyrwyddo'r Gymraeg ym maes Iechyd, Gwasanaethau Cymdeithasol a Gofal Cymdeithasol** yn 2012 gan Ddirprwy Weinidog Gwasanaethau Cymdeithasol Llywodraeth Cymru. Nod y fframwaith yw sicrhau bod sefydliadau yn cydnabod bod iaith yn rhan annatod o ofal ac y cynigir gwasanaethau yn Gymraeg i'r bobl hynny sydd eu hangen.

## Tudalen 70



- 20 Mae'r Cyngor wedi cwblhau newidiadau strwythurol mawr i'r broses o reoli gwasanaethau gofal cymdeithasol oedolion a gwasanaethau plant. Mae dull gweithredu'r Cyngor yn cynnwys adolygu gwasanaethau sy'n bodoli eisoes; cyflwyno modelau arfer arloesol; datblygu partneriaethau integredig; ac ystyried y potensial ar gyfer comisiynu rhai gwasanaethau ar sail ranbarthol. Wrth reoli ei ostyngiadau cyllidebol a newid ei ddull o ymdrin â gofal cymdeithasol rheng flaen, mae'r Cyngor wedi dewis lleihau nifer y gweithwyr cymdeithasol cymwys a gyflogir ym maes gwasanaethau oedolion gan benodi ymarferwyr gofal cymdeithasol yn eu lle. O gymharu â 2013-14 gwnaeth nifer y gweithwyr cymdeithasol leihau 19 y cant yn ystod y flwyddyn (naw swydd) a chydbwyswyd hyn drwy gyflwyno 24.8 o swyddi ymarferwyr gofal cymdeithasol cyfwerth ag amser llawn (gan gynnwys chwe swyddog adolygu). Mae darlun gwahanol ym maes gwasanaethau gofal cymdeithasol plant lle gwelwyd cynnydd yn nifer y gweithwyr cymdeithasol o gymharu â'r flwyddyn flaenorol o 21.47 y cant (saith swydd). Er mwyn asesu effaith y newidiadau hyn ar bobl sy'n derbyn gwasanaethau gofal cymdeithasol oedolion, bydd angen i'r cyngor fabwysiadu dull trylwyr o sicrhau ansawdd. Yn 2014-15, dechreuodd y Cyngor raglen ymgynghori fanwl ar ddyfodol ei dri chartref preswyl i bobl hŷn sy'n darparu llety ar hyn o bryd i 50 o bobl ac sy'n cyflogi 100 o aelodau staff. Ceisiodd gwasanaethau oedolion, a ddaeth yn un o swyddogaethau'r Gwasanaethau Cymorth Cymunedol newydd, wella ei ddull o gomisiynu yn ystod y flwyddyn.
- 21 Daeth AGGCC i'r casgliad bod y ddarpariaeth o ofal cymdeithasol i oedolion yn y Sir wedi gwella'n gyffredinol gyda mentrau newydd yn hyrwyddo annibyniaeth yn parhau. Mae pwyslais y Cyngor ar sicrhau y gall mwy o bobl 65 oed a throsodd barhau i fod yn annibynnol. Mae cyflwyno Un Pwynt Mynediad yn dangos model effeithiol o waith partneriaeth integredig ym maes gofal cymdeithasol ac iechyd, gan ddarparu asesiad a chymorth i bobl y mae risg y bydd eu hiechyd yn gwaethygu. Erbyn diwedd y flwyddyn, roedd y gwasanaeth wedi'i staffio'n llawn gan gynnwys staff o'r trydydd sector ac roedd yn cynnig gwasanaeth dwyieithog.
- 22 Mae'r Cyngor yn darparu cyfeiriad ac arweinyddiaeth gadarn wrth gynyddu'r amrywiaeth o wasanaethau ataliol ac ymyrraeth gynnar sydd ar gael i bobl hŷn. Mae Cynllun Llesiant Sir Ddinbych yn dangos cyfeiriad strategol y Cyngor wrth geisio galluogi pobl i ddod yn fwy gwydn ac annibynnol. Canfu AGGCC enghreifftiau eraill o fentrau newydd fel prosiect 'Fy Mywyd i, Fy Ffordd i' sy'n canolbwyntio ar adnoddau lleol er mwyn i bobl chwilio am gyngor a gwybodaeth a chynnal gwydnwch ac annibyniaeth. Gwnaeth y Cyngor hefyd gychwyn prosiect â'r nod o asesu ac ymyrryd mewn achosion lle mae pobl hŷn yn profi unigrwydd. Cymerodd y Cyngor ran mewn rhaglen beilot genedlaethol i ddatblygu cymunedau cymunedol, gan ei gwneud yn hawdd i'r boblogaeth leol gael gafael ar gyngor a gwybodaeth. Agorodd y gymuned gymunedol gyntaf o'r fath a oedd yn gweithredu 'sgyrsiau dan arweiniad y gymuned' yng Nghorwen.

- 23 O ran darparu gofal cartref, bu ffocws ar symud tuag at ddull yn seiliedig ar ganlyniadau ar gyfer defnyddwyr y gwasanaethau hyn, er nad yw gwaith i werthuso ansawdd yr holl ddarparwyr a'r canlyniadau i wasanaethau wedi ei gynnal eto. Nod y rhaglen beilot a gynhelir gan y Cyngor i gymhwyso'r Fframwaith Canlyniadau Cenedlaethol yw sicrhau bod yr unigolyn wrth wraidd ymarfer gwaith cymdeithasol. Bydd hyn felly yn galw am ddull gweithredu mwy deallus a phwrpasol o gomisiynu, a bydd angen mwy o eglurder yn null y Cyngor o gomisiynu.
- 24 Fodd bynnag, canfu AGGCC nad oedd y Cyngor yn monitro ansawdd llawer o asiantaethau gofal cartref yn ffurfiol yn ystod y flwyddyn drwy gynnal ymweliadau â phob darparwr. Cydnabu'r Cyngor y bydd angen monitro pob darparwr yn effeithiol yn ystod 2015-16. Yn ystod cyfarfodydd ymgysylltu ag AGGCC, nododd y Cyngor fod 70 y cant o'r holl alwadau 15 munud i bobl yn eu cartrefi eu hunain yn 'alwadau gwirio'. Dylai monitro ansawdd gynnwys cyfweiliadau wyneb yn wyneb yn ogystal â'r dulliau presennol a ddefnyddir, i wella cyfleoedd i wrando ar safbwyntiau pobl sy'n derbyn pob math o wasanaethau gofal cartref a'u gwerthuso. Bydd hyn yn helpu i sicrhau bod y cymorth a ddarperir yn diwallu eu hanghenion ac yn llywio gwaith comisiynu'r Cyngor yn y dyfodol.
- 25 Dros y blynyddoedd diwethaf mae nifer gynyddol o bobl ag anableddau dysgu ac anghenion cymhleth yn aml o'r tu allan i'r sir a hyd yn oed y tu allan i Gymru wedi cael eu lleoli gyda darparwyr annibynnol (dros 96 y cant) yn Sir Ddinbych ond canfu AGGCC fod nifer sylweddol o bobl yn y gwasanaethau hyn yn annhebygol o fod yn hysbys i'r Cyngor ac y bydd angen iddynt efallai, ar ryw adeg, fanteisio ar wasanaethau iechyd a gofal cymdeithasol sylfaenol, a manteisio hefyd ar ddiogelwch y prosesau diogelu a weithredir gan y Cyngor. Daeth AGGCC i'r casgliad bod angen i'r Cyngor (a phartneriaid) wneud mwy o waith i asesu a rhagweld angen ac adnoddau yn y dyfodol yn hyn o beth, ac ystyried effaith bosibl unrhyw newid o'r cymorth dwys i leoliadau cymunedol yn y sir.
- 26 Daeth AGGCC i'r casgliad, er y cynnydd yn y capasiti i wella prosesau diogelu oedolion agored i niwed, nid yw perfformiad mewn perthynas ag Amddiffyn Oedolion Agored i Niwed (PoVA) wedi gwneud y cynnydd a ragwelwyd, ac mae perfformiad yn parhau i beri pryder ac mae hyn yn risg barhaus i'r Cyngor. Ceisiodd y Cyngor atgyfnerthu capasiti drwy ymestyn rôl y rheolwyr arweiniol dynodedig. Sefydlwyd cymorth gweinyddol dynodedig hefyd tuag at ddiwedd y flwyddyn, darparwyd hyfforddiant i staff, a chynhaliwyd cyfarfodydd misol i adolygu cynnydd a rhannu ymarfer. Er gwaethaf y datblygiadau hyn, erbyn diwedd 2014-15 roedd yr un pryderon a nodwyd yn adroddiad gwerthuso perfformiad AGGCC y llynedd yn parhau, gan gynnwys amseroldeb a diffyg cysondeb yn y broses ddiogelu. Arsylwodd AGGCC nad oedd asiantaethau perthnasol bod amser yn ymgysylltu, yn enwedig mewn trafodaethau strategol ar gam cynnar, ac un thema a oedd yn codi dro ar ôl tro oedd diffyg hyder y rheolwyr arweiniol dynodedig, a oedd yn awgrymu bod angen cymorth a hyfforddiant pellach arnynt. Mae angen eglurder hefyd ynghylch trohwy'r Cyngor ar gyfer derbyn neu wrthod atgyfeiriadau PoVA. Ers cyhoeddi'r Adolygiad Blynyddol ym mis Hydref 2015, mae'r Cyngor wedi cymryd nifer o gamau i fynd i'r afael â phryderon AGGCC, gan gynnwys gweithredu prosesau casglu a gwerthuso data newydd yn ymwneud â phob cam yn y broses PoVA a sicrhau bod gan bersonél Un Pwynt Mynediad y wybodaeth sydd ei hangen arnynt i wneud atgyfeiriadau mewn ffordd amserol i'r tîm PoVA. Bydd AGGCC hefyd yn cynnal adolygiad dilynol ar drefniadau PoVA yn ystod 2016.

## Tudalen 72



- 27 Mae gwaith partneriaeth yn parhau i fod yn gryf yn Sir Ddinbych ac, fel y nodwyd y llynedd, mae wedi galluogi'r Cyngor i ddatblygu a darparu gwasanaethau wedi'u hailstrwythuro ac mae hyn wedi gwella ansawdd y gofal a ddarperir yn y sir. Cyfarfu uwch swyddogion o gynghorau Sir Ddinbych a Chonwy drwy gydol y flwyddyn er mwyn ceisio cyfleoedd i wneud gwaith partneriaeth ar y cyd ym maes gofal cymdeithasol. Noda AGGCC fod cydberthnasau ag asiantaethau partner yn dda ar lefel unigol ac ar lefel sefydliad, er gwaethaf rhai heriau wrth ymgysylltu'n effeithiol ar lefel strategol, ac felly dylai fod yn fanteisiol, o ran yr gwaith cynllunio strategol a gwneud penderfyniadau ar gyfer gwasanaethau iechyd a gofal cymdeithasol yn y flwyddyn i ddod, pe bai Cyfarwyddwr Gwasanaethau Cymdeithasol Sir Ddinbych yn cael ei benodi'n aelod cyswllt o Fwrdd Iechyd Prifysgol Betsi Cadwaladr.
- 28 Nododd AGGCC gynnydd da iawn wrth ddarparu gwasanaethau plant a chanlyniadau cadarn ar gyfer plant sy'n derbyn gofal. Mae'r Cyngor wedi rhoi dulliau gweithredu ar waith â'r nod o wella perfformiad gwael yn y gorffennol mewn perthynas â chynlluniau iechyd, deintyddol ac addysg bersonol i blant sy'n derbyn gofal. Tuag at ddiwedd y flwyddyn, roedd newid yn dechrau cael effaith ar archwiliadau iechyd a deintyddol. Fodd bynnag, mae'r ddau faes hyn ar eu hôl hi o gymharu â chyfartaledd Cymru. Mewn perthynas ag archwiliadau iechyd bu cynnydd o 38.4 y cant i 73.5 y cant; a gwelodd archwiliadau iechyd ychydig o gymharu â'r flwyddyn flaenorol i 59.8 y cant. Gwelodd y Cyngor ei berfformiad yn sylweddol gan sicrhau bod gan bob plentyn sy'n derbyn gofal gynllun addysg bersonol ac ar 100 y cant, mae hyn gryn dipyn uwchlaw cyfartaledd Cymru.
- 29 Canfu arolygiad AGGCC yn 2014-15 o Wasanaeth Maethu Sir Ddinbych fod grŵp sefydlog o ofalwyr maeth yn y sir a barnwyd bod morâl ymhlith gofalwyr maeth yn dda. Mae'r Cyngor hefyd yn gweithio gyda chynghorau eraill yn y Gogledd i sefydlu dull rhanbarthol o recriwtio gofalwyr maeth.
- 30 Gwelodd canlyniadau i bobl sy'n gadael gofal. Drwy gynnwys y tîm 14+ a'r fforwm rhianta corfforaethol, mae gwaith ymgysylltu cadarnhaol yn cael ei wneud a chafwyd rhywfaint o lwyddiant o ganlyniad i wasanaethau amrywiol y Cyngor wrth ddarparu opsiynau i'w bobl iau sy'n derbyn gofal, gan gynnwys cyfleoedd am gyflogaeth a phrentisiaethau. Gwnaed cynnydd mawr o ran y sgôr pwyntiau cymwysterau allanol a gyflawnwyd gan y garfan fach (pedwar) o blant 16 oed sy'n derbyn gofal sef 438.50 o bwyntiau, gan adlewyrchu cynnydd o 168 y cant o gymharu â'r flwyddyn flaenorol, a hon oedd y sgôr uchaf yn y Gogledd ac roedd yn sylweddol uwch na chyfartaledd Cymru. Dangosir rôl y Cyngor fel y 'rhiant corfforaethol' ar gyfer plant a phobl ifanc drwy'r Fforwm Rhianta Corfforaethol, lle mae uwch reolwyr ac aelodau etholedig yn craffu ar ganlyniadau i bobl ifanc ac yn herio perfformiad. Ychwanegir at hyn drwy sefydlu trefniadau gwell ar gyfer sicrhau ansawdd drwy ymgysylltu'n well â phobl ifanc a gofyn am eu barn.
- 31 Yn ystod 2015-16, cynhaliodd AGGCC arolygiad o Wasanaethau Maethu mewnol Sir Ddinbych. Mae canfyddiadau arolygiadau o awdurdodau lleol unigol ac adroddiad trosolwg cenedlaethol AGGCC ar gael ar [wefan AGGCC](#).

- 32 Fel rhan o waith Cynaliadwyedd Gwasanaethau Cymdeithasol Swyddfa Archwilio Cymru ar draws y chwe Chyngor yn y Gogledd, gwnaethom lunio dogfen i'r Cyngor a oedd yn cyflwyno'r canlynol:
- y galw yn y dyfodol am wasanaethau cymdeithasol yn Sir Ddinbych drwy feincnodi amcanestyniadau o'r boblogaeth ar gyfer plant a phobl hŷn; a
  - chyfres o ddadansoddiadau ar ffurf graff a oedd yn cyfuno data ariannol a data perfformiad ar gyfer gwasanaethau cymdeithasol yn Sir Ddinbych dros sawl blwyddyn ac a oedd hefyd yn gosod y Cyngor yng nghyd-destun y 21 cyngor arall yng Nghymru.
- 33 Nid oedd unrhyw argymhellion na chasgliadau o'r gwaith hwn gan ein bod wedi rhoi pecyn data i bob cyngor a oedd yn dangos y wybodaeth o safbwynt gwerth am arian a hwyluso gweithdy ar gyfer y Gogledd i gyd i Gyfarwyddwyr Gwasanaethau Cymdeithasol ac uwch reolwyr allweddol. Cawsom adborth cadarnhaol ar yr allbwn ac rydym yn aros i weld sut y bydd y Cyngor yn defnyddio'r dull gweithredu hwn fel rhan o'i brosesau herio mewnol.

### **Mae'r Cyngor yn parhau i lunio gwerthusiadau cytbwys a hyddysg o'i berfformiad ac yn cydymffurfio â Mesur Llywodraeth Leol 2009**

- 34 Mae'r Cyngor, fel mewn blynyddoedd blaenorol, wedi cyflawni ei ddyletswyddau o ran adrodd ar welliant o dan y Mesur a daeth Tystysgrif Asesiad Gwella yr Archwilydd Cyffredinol ym mis Hydref 2015 i'r casgliad bod y Cyngor wedi cyflawni ei ddyletswyddau o ran adrodd ar welliant o dan y Mesur.
- 35 Mae trefniadau Herio Gwasanaeth y Cyngor wedi bod ar waith ers sawl blwyddyn ac yn parhau i ddarparu datganiadau sefyllfa cynhwysfawr a manwl i Aelodau etholedig a rheolwyr gan ddefnyddio'r data perfformiad sydd ar gael a chynnydd prosiectau mawr. Fodd bynnag, o ran pwyllgorau craffu'r Cyngor, mae cofnod presenoldeb Aelodau mewn cyfarfodydd herio gwasanaethau wedi bod yn amrywiol yn ystod 2015. Yn aml, yr unig her yw'r un a ddaw oddi wrth uwch aelodau o staff a rhai Aelodau etholedig. Fel y nodwyd gennym yn Adroddiad Gwella Blynyddol y llynedd, mae'r drefn o herio gwasanaethau yn rhan bwysig o broses hunanwerthuso'r Cyngor, gan alluogi uwch reolwyr ac Aelodau etholedig i ddeall yn well pa mor dda y mae pob gwasanaeth yn perfformio yn erbyn targedau ac yn y cyd-destun cenedlaethol, ac i nodi'r hyn sydd angen ei wneud mewn meysydd nad ydynt yn perfformio cystal. Er mwyn i drefniadau Herio Gwasanaethau'r Cyngor barhau i gyflawni'r rôl bwysig hon mae angen i lefel presenoldeb Aelodau ddychwelyd i'w lefel flaenorol.
- 36 Mae'n ofynnol i'r Cyngor hefyd baratoi a chyhoeddi Cynllun Gwella sy'n disgrifio ei gynlluniau i gyflawni ei ddyletswyddau i wneud trefniadau i sicrhau gwelliant parhaus o ran y ffordd y mae'n cyflawni ei swyddogaethau. Daeth Tystysgrif Cynllun Gwella yr Archwilydd Cyffredinol ym mis Mai 2015 i'r casgliad bod y Cyngor wedi cyflawni ei ddyletswyddau o ran cynllunio gwelliant o dan y Mesur.

## Mae dangosyddion cenedlaethol a safonau perfformio'r Cyngor ei hun yn parhau i roi darlun cywir o berfformiad

- 37 Gwaethygodd perfformiad y Cyngor yn 2014-15 fymryn bach, gydag 14 o'r 25 o'r dangosyddion perfformiad statudol o fewn y chwarter uchaf. Fel yn 2013-14, dim ond pedwar o'r 25 o fesurau statudol ar gyfer Cymru gyfan oedd yn y chwarter isaf a pharhaodd y Cyngor i gyflawni gwelliannau ar draws sawl un o'i feysydd gwasanaeth, megis lleihau gwastraff a anfonir i safleoedd tirlenwi hyd yn oed yn fwy. Mae'r Cyngor wedi parhau i wrthod proses o bennu targedau sy'n seiliedig ar welliant graddol o gymharu â pherfformiad y flwyddyn flaenorol o blaid proses sy'n seiliedig ar gyflawni'r 'trothwy rhagoriaeth'. Mae trothwyon rhagoriaeth fel arfer yn seiliedig ar sicrhau bod perfformiad y Cyngor ymhlith y chwe chyngor sy'n perfformio orau yng Nghymru.
- 38 Daeth ein tri Adroddiad Gwella Blynyddol diweddaraf i'r casgliad bod tîm polisi canolog y Cyngor yn parhau i oruchwylio, cydgysylltu, a rheoli perfformiad yn effeithiol. O ganlyniad, mae'r Cyngor wedi gallu parhau i weithredu system rheoli perfformiad gyson a ddeallir yn glir. Mae hyn yn wir o hyd. Atgyfnerthwyd ansawdd y gwaith a gynhyrchwyd gan y tîm polisi canolog ymhellach yn ystod 2015 drwy gyflwyno System Rheoli Perfformiad newydd.

## Gwnaed cynnydd da wrth fynd i'r afael â'r tangyflawni blaenorol a gofnodwyd wrth ddarparu tai fforddiadwy a datblygu strategaeth tai Cyngor newydd

- 39 Mae'r Cyngor wedi cymryd camau cadarn yn 2014-15 i geisio sicrhau cyflenwad digonol o dai fforddiadwy. Tan eleni, roedd y Cyngor wedi methu'n gyson â chyflawni ei dargedau ers 2011 a'i berfformiad ef oedd yr un gwaethaf yng Nghymru yn 2013-14. Yn 2013-14, o blith y 2,416 o gartrefi fforddiadwy a adeiladwyd yng Nghymru, dim ond 16 ohonynt a gwblhawyd yn Sir Ddinbych. Mae'r Cyngor yn cydnabod bod angen iddo wella ei berfformiad ac ad-drefnwyd y gwasanaeth tai yn ddiweddar gyda Phennaeth Cynllunio a Diogelu'r Cyhoedd, ynghyd â'r Pennaeth Cyllid, Asedau a Thai, yn cymryd cyfrifoldeb am bob agwedd ar ddarparu tai fforddiadwy yn Sir Ddinbych. Yn 2014-15, cwblhawyd cyfanswm o 74 o dai fforddiadwy yn Sir Ddinbych, er nad yw'n debygol o hyd y caiff y targed cynllun corfforaethol o 570 o gartrefi fforddiadwy newydd i'w cwblhau rhwng 2012 a 2017 ei gyflawni.
- 40 Mae'r Cyngor yn cydnabod nad yw'r Strategaeth Tai bresennol yn nodi'r rolau na'r cyfrifoldebau am gyrraedd y targed cartrefi fforddiadwy yn ddigon clir ac mae grŵp Gorchwyl a Gorffen o aelodau etholedig a swyddogion wedi bod yn datblygu strategaeth tai fforddiadwy newydd. Cymeradwywyd y strategaeth tai newydd gan y Cyngor ym mis Rhagfyr 2015 ac mae cynllun gweithredu manwl yn nodi cyfres o fesurau a ddylai, os caiff pob un ohonynt eu rhoi ar waith yn llwyddiannus, sicrhau cynnydd sylweddol o ran cynyddu'r ddarpariaeth o dai fforddiadwy yn Sir Ddinbych dros y pum mlynedd nesaf.

- 41 Fel y nodwyd yn yr Adroddiad Gwella Blynyddol diwethaf, mae Blaenoriaeth Gwella'r Cyngor o ran tai yn ehangach na darparu tai fforddiadwy yn unig. Cymerodd y Cyngor gamau effeithiol i atal digartrefedd yn 2014-15 ac, fel yn y flwyddyn flaenorol, roedd yn y chwarter uchaf o ran perfformiad yng Nghymru o hyd. Roedd nifer y diwrnodau a gymerwyd i ddarparu grantiau cyfleusterau i'r anabl hefyd yn isel ac yn cynrychioli perfformiad chwarter uchaf ymhlith cyngorau yng Nghymru.

### **Mae'r Cyngor wedi mabwysiadu modelau amgen o ddarparu gwasanaethau ac ond newydd ddechrau datblygu fframwaith strategol priodol a trefniadau monitro a chraffu ar berfformiad**

- 42 Gyda'r posibilrwydd o doriadau ariannol parhaus, mae mwy o gynghorau yn ystyried y posibilrwydd o wneud newidiadau sylweddol i'r dulliau o ddarparu gwasanaethau er mwyn cyflawni mwy o ddiogelwch ariannol ac er mwyn diogelu gwasanaethau. Mae'n bwysig bod cynghorau yn gwneud y penderfyniadau hyn gydag ystod gyfan o wybodaeth yn ymwneud ag opsiynau darparu gwasanaethau a bod cryfderau a gwendidau pob opsiwn yn cael eu trafod yn eu cyd-destun. Mae angen i'r drafodaeth hon gael ei chynnal ar lefel swyddogion ac Aelodau ynghyd â dull ymgynghori cadarn â'r cyhoedd.
- 43 Gellir cyflwyno modelau amgen o ddarparu gwasanaethau ar sawl ffurf, a gall gwerthoedd penodol cyngor bennu pa rai a ddewisir. Er enghraifft, gallai dull 'cyngor comisiynu' olygu sefydlu amrywiaeth o gontractau gyda'r sector preifat ar gyfer darparu gwasanaethau yn yr hirdymor. Ceir enghraifft hefyd o'r rhwydwaith o 'gynghorau cydweithredol' sy'n cynnal cyfres o brosiectau i ystyried ac ymgorffori ffyrdd newydd o ddarparu gwasanaethau mewn ymarfer a gweithio mewn partneriaeth â chymunedau.
- 44 Mae pob un o'r modelau hyn yn dwyn risgiau cysylltiedig sydd angen eu nodi pan gaiff opsiynau eu hystyried a rhaid rhoi trefniadau ar waith i'w rheoli wrth iddynt gael eu datblygu a'u rhoi ar waith. O gofio'r ystod eang o opsiynau posibl, byddai'n fuddiol i'r Cyngor gadarnhau ei ddewisiadau ar gyfer gwasanaethau penodol cyn dechrau ar waith ymchwil cychwynnol - yn syml, gallai hyn fod yn ddatganiad o natur y trefniadau na fyddai yn eu hystyried.
- 45 Mae rhesymau a ffactorau gwahanol wedi cyfrannu at ystyried ffyrdd amgen o ddarparu gwasanaethau yn effeithiol. Er enghraifft, mae'r prosiect SARTH na chafodd ei roi ar waith eto<sup>3</sup> gyda chynghorau cyfagos a Chymdeithasau Tai Lleol yn gwithio am newid i system ddyrannu tai cymdeithasol mwy modern ac effeithiol, ac mae pwysau unedau gofal preswyl o bobl sy'n heneiddio yn golygu bod y Cyngor yn edrych ar gynlluniau tai gofal ychwanegol a ddarperir gan ddarparwyr amgen.

3 Prosiect partneriaeth yw SARTH (Un Llwybr Mynediad at Dai) rhwng pob landlord cymdeithasol mawr yn y Gogledd-ddwyrain, yn cwmpasu ardaloedd awdurdodau lleol Cyngor Bwrdeistref Conwy, Sir Ddinbych a Sir y Fflint. Nod cyffredinol SARTH yw darparu llwybr mynediad cyffredin at ystod o opsiynau tai fforddiadwy sy'n dryloyw, cyfreithlon, effeithlon a hygyrch i bob rhan o'r gymuned. Drwy fframwaith dyrannu cyffredin bydd partneriaid yn rhannu un gofrestr ac felly dim ond un cais y bydd angen i ymgeisydd ei wneud i gael mynediad at y system gyfan. Bydd pob partner ag eiddo mewn ardal a ddewisir gan ymgeisydd yn ymwbyddol o'r cais ac yn gallu rhoi'r flaenoriaeth briodol i'r ymgeisydd yn y broses ddyrannu.

- 46 Mae'r Cyngor eisoes wedi datblygu a dechrau sefydlu nifer o ffurfiau amgen ar ddarparu gwasanaethau, gan gynnwys gwasanaethau partneriaeth â'r sector preifat a gwasanaethau a rennir â chynghorau lleol eraill a'r trydydd sector, fel cymdeithasau tai lleol. Er enghraifft, ym mis Ebrill 2015 aeth y Cyngor ati i drosglwyddo staff Refeniw a Budd-daliadau i bartneriaeth newydd gyda'r cwmni preifat CIVICA. Mae'r Cyngor yn datblygu modelau darparu gwasanaethau diwygiedig fesul gwasanaeth, lle y gellir sefydlu achosion busnes, yn hytrach na bod yn rhan o adolygiad systematig o opsiynau ar gyfer dulliau amgen o ddarparu gwasanaethau.
- 47 Fodd bynnag, mae rhai gwasanaethau yn Sir Ddinbych, fel Gwasanaethau Hamdden, yn dangos eu bod, ar lefel gwasanaeth, eisoes yn cynnal adolygiadau systematig cadarn o opsiynau ar gyfer dulliau amgen o ddarparu gwasanaethau. Yn ein Hadroddiad Cenedlaethol ar Wasanaethau Hamdden<sup>4</sup> gwnaethom nodi sut yr aeth y Cyngor ati, fel rhan o'i nod strategol 'y bydd Sir Ddinbych erbyn 2020 yn enwog am gyfleoedd hamdden hygyrch, o ansawdd uchel sy'n denu lefelau uchel o gyfranogiad ac sy'n gwella lles ei drigolion a'i ymwelwyr', i gynnal 14 o weithdai i randdeiliaid a chwblhau dadansoddiad cost a budd manwl, gan gynnwys cymharu'r farchnad yn lleol. Mae hyn wedi rhoi gwybodaeth fanwl i'r Cyngor am berfformiad a boddhad cwsmeriaid ynghylch pob un o'i gyfleusterau hamdden ac wedi caniatáu iddo ddatblygu cynlluniau gweithredol manwl ar gyfer cyfleusterau unigol i gyflawni ei nod o sicrhau bod gwasanaethau'n hunan-ariannu ac yn ganolog i wella iechyd trigolion yn Sir Ddinbych.
- 48 Tan fis Rhagfyr 2015, nid oedd gan y Cyngor ddulliau corfforaethol effeithiol ar waith i fonitro trefniadau presennol ar gyfer dulliau amgen o ddarparu gwasanaethau ond mae bellach wedi cytuno ar fframwaith corfforaethol ar gyfer darparwyr gwasanaethau amgen. Mae'r fframwaith yn nodi'n glir y gofynion ar gyfer sicrhau bod canllawiau perthnasol ar waith, y trefniadau ar gyfer ystyried a gweithredu newidiadau, egluro rolau ar gyfer y rhai dan sylw, y trefniadau monitro a llywodraethu, yn ogystal â'r elfennau cyfreithiol angenrheidiol a'r isafswm lefelau monitro sy'n ofynnol yn dibynnu ar werth y gwasanaethau a ddarperir.
- 49 Nid yw'r fframwaith monitro newydd ar gyfer dulliau amgen o ddarparu gwasanaethau ar waith yn llawn eto ac mae trefniadau craffu cyhoeddus cyfredol yn wan. Er enghraifft, nid yw'r bartneriaeth perfformiad â CIVICA ar gyfer Refeniw a Budd-daliadau, er ei bod yn destun adolygiad misol gan Fwrdd CIVICA a'r Cyngor ar y cyd, sef proses flynyddol o herio gwasanaethau, ac adroddiad i grŵp gorchwyl a gorffen, wedi elwa eto ar unrhyw waith craffu cyhoeddus ar berfformiad gan Aelodau drwy naill ai ei bwyllgorau craffu neu'r Pwyllgor Llywodraethu Corfforaethol. Fodd bynnag, mae'r Cyngor yn cydnabod yr angen i atgyfnerthu ei drefniadau craffu a monitro cyhoeddus ac mae bellach yn gweithredu'r fframwaith monitro newydd ar gyfer darparwyr gwasanaethau amgen.

4 'Cyflawni â llai – Gwasanaethau Hamdden', Rhagfyr 2015

## Gwerthusiad Comisiynydd y Gymraeg o berfformiad Sir Ddinbych

- 50 Crëwyd rôl Comisiynydd y Gymraeg (y Comisiynydd) gan Fesur y Gymraeg (Cymru) 2011. Daeth pwerau newydd i orfodi safonau ar sefydliadau i rym drwy is-ddeddfwriaeth ar 31 Mawrth 2015. Bydd y Comisiynydd yn parhau i adolygu cynlluniau iaith Gymraeg yn rhinwedd y pwerau a etifeddwyd o dan Ddeddf yr Iaith Gymraeg 1993.
- 51 Mae'r Comisiynydd yn gweithio gyda phob cyngor yng Nghymru i arolygu cynlluniau iaith a rhoi cyngor arnynt. Mae cyfrifoldeb ar gynghorau i ddarparu gwasanaethau i'r cyhoedd yn Gymraeg yn unol â'r ymrwymadau yn eu cynlluniau iaith. Mae pob cyngor wedi ymrwymo i ddarparu adroddiad monitro blynyddol i'r Comisiynydd yn amlinellu ei berfformiad wrth weithredu'r cynllun iaith. Mae'r Comisiynydd yn dadansoddi pob adroddiad monitro, yn ymateb yn ffurfiol ac yn casglu rhagor o wybodaeth yn ôl yr angen.
- 52 Nododd y Comisiynydd feysydd i'w gwella yn ei adroddiadau arolygu a'r llythyrau a gyhoeddodd i'r Cyngor yn ystod y flwyddyn. Mae'r rhain ar gael ar [wefan y Comisiynydd](#).

# Y defnydd o adnoddau

## Mae gan y Cyngor drefniadau rheoli ariannol priodol ond mae angen iddo atgyfnerthu ei ddull o gynhyrchu incwm

- 53 Ar 27 Tachwedd 2015, cyflwynodd yr Archwilydd Cyffredinol Lythyr Archwilio Blynnyddol i'r Cyngor. Mae'r llythyr yn crynhoi'r negeseuon allweddol sy'n deillio o'i gyfrifoldebau statudol o dan Ddeddf Archwilio Cyhoeddus (Cymru) 2004 fel yr Archwilydd Penodedig a'i gyfrifoldebau adrodd o dan y Cod Ymarfer Archwilio. Rhoddodd yr Archwilydd Cyffredinol farn archwilio ddiamed ar ddatganiadau cyfrifyddu'r Cyngor, gan gadarnhau eu bod yn rhoi darlun cywir a theg o sefyllfa ariannol a thrafodion y Cyngor. Mae'r Llythyr Archwilio Blynnyddol ar gael yn **Atodiad 2** o'r adroddiad hwn.

## Mae cynlluniau a threfniadau'r Cyngor ar gyfer cyflawni arbedion yn y dyfodol yn addas at y diben ac maent yn cael eu rheoli'n effeithiol

- 54 Mae systemau rheoli ariannol da yn hanfodol er mwyn gwarchod arian cyhoeddus yn effeithiol a darparu gwasanaethau cyhoeddus effeithlon. Mae systemau rheoli ariannol da:
- yn helpu awdurdodau i wneud y penderfyniadau cywir ar gyfer y byrdymor, y tymor canolig a'r hirdymor;
  - yn helpu awdurdodau i ddarparu gwasanaethau i gyflawni rhwymedigaethau statudol a diwallu anghenion cymunedau lleol;
  - yn hanfodol er mwyn sicrhau systemau llywodraethu corfforaethol da;
  - yn ymwneud cymaint â rheoli perfformiad a chyflawni amcanion strategol ag â rheoli arian;
  - yn sail i ansawdd gwasanaethau a gwella gwasanaethau;
  - yn sail i atebolrwydd i randdeiliaid am warchod a defnyddio adnoddau; ac
  - yn ddisgyblaeth reoli allweddol.
- 55 Sicrheir cydnherthedd ariannol pan fydd gan awdurdod systemau a phrosesau cadarn i reoli ei risgiau a'i gyfleoedd ariannol yn effeithiol a sicrhau sefyllfa ariannol sefydlog.
- 56 Mae gan y Cyngor fframwaith corfforaethol effeithiol ar gyfer cynllunio ariannol yn y Cyngor. Mae ei weledigaeth a'i nodau cyffredinol wedi eu cyfleu'n glir drwy ei Gynllun Corfforaethol 2012-17 sy'n manylu ar y saith amcan gwella y mae'r Cyngor yn gobeithio eu cyflawni ar gyfer ei ddinasyddion. Mae gan y Cyngor ddull cadarn ar waith o sicrhau bod amcanion gwella yn gysylltiedig â chynlluniau gwasanaethau a'u bod wedi'u diogelu ganddynt, a bod cyllidebau a chynlluniau ariannol wedi'u pennu yn unol â chyflawni'r amcanion hyn. Mesurir cynnydd drwy fframwaith monitro perfformiad y Cyngor a chyflwynir adroddiad arno bob blwyddyn drwy Ddogfen Gyflawni Flynyddol y Cyngor.



- 57 Mae nifer o bolisiau sy'n cefnogi trefniadau cynllunio ariannol y Cyngor, a nodir cyfrifoldebau o ran pennu'r gyllideb, ei monitro ac adrodd arni. Mae gan y Cyngor Gynllun Ariannol Tymor Canolig (y Cynllun) sydd wrthi'n cael ei ddiweddarau. Mae fersiwn 2014 yn nodi sut yr ymdrinnir â'r bwlch mewn arbedion sy'n weddill yn 2015-16 a thu hwnt.
- 58 Newidiodd dull y Cyngor o bennu ei gyllideb refeniw ar gyfer blwyddyn ariannol 2015-16. Er bod y Cyngor yn y gorffennol wedi mynd ati i leihau costau'n gynyddrannol, ar gyfer 2015-16, cafodd gwasanaethau eu hadolygu o dan y rhaglen Rhyddid a Hyblygrwydd er mwyn cyflawni targed i arbed £18 miliwn dros y ddwy flynedd nesaf. Mae'r broses gyllidebol hon yn canolbwyntio ar yr hyn y mae gwasanaeth yn ei wneud a faint mae'n ei gostio, ac yn ceisio dadansoddi p'un a yw'r gwasanaeth a ddarperir yn statudol, yn gyson â blaenoriaeth gorfforaethol neu'n ddewisol.

**Mae gan y Cyngor reolaethau effeithiol ar waith i sicrhau bod ei brosesau a'i reolaeth ariannol yn gadarn, ond mae angen iddo atgyfnerthu ei ddull o gynhyrchu incwm**

- 59 Mae cynlluniau arbedion ac arbedion effeithlonrwydd y Cyngor ar gyfer 2015-16 yn cael eu rheoli'n effeithiol ac yn debygol o gael eu cyflawni.
- 60 Roedd cynlluniau arbedion effeithlonrwydd wedi cael eu datblygu ar gyfer 2015-16 ym mhob un o adrannau'r Cyngor. Mae'r cynlluniau yn cynnwys disgrifiadau clir o ble y câi'r arbedion eu gwneud. Mae Cynllun Arbedion Sir Ddinbych yn gyraeddadwy, amserol, mesuradwy, penodol, uchelgeisiol a synhwyrol. Mae Cynllun Arbedion y Cyngor ar gyfer 2015-16 yn rhoi sylw priodol a pherthnasol i'r pwysau ariannol sy'n wynebu'r Cyngor yn y dyfodol. Roedd y tybiaethau a wnaed gan y Cyngor wrth nodi'r diffyg yn gynhwysfawr a rhesymol ac wedi'u hategu gan ddata cadarn.
- 61 Bob blwyddyn, mae'r Cyngor yn adolygu lefel ei gronfeydd wrth gefn a'i ddarpariaethau o ran cronfeydd wrth gefn a glustnodwyd a rhai cyffredinol, proses a ymgorfforwyd yn y prosesau pennu cyllideb a gweithdai aelodau. Mae anghysondeb rhwng y strategaeth ar gyfer cronfeydd wrth gefn fel y'i nodir yng Nghynllun Ariannol Tymor Canolig 2014-18 a'r dull o ymdrin â chronfeydd wrth gefn a fabwysiedir wrth bennu'r gyllideb ar gyfer 2015-16. Mae angen ymdrin â'r datgysylltiad hwn er mwyn sicrhau bod dull y Cyngor yn gyson a bod ei bolisiau a'i weithdrefnau allweddol yn cysoni'n effeithiol.
- 62 Nid oes gan y Cyngor bolisi ffurfiol ychwaith ar gynhyrchu/codi incwm, ac nid oes ganddo gofrestr o'r taliadau a bennir gan y priod adrannau. Er i'r broses o godi taliadau gael ei thrafod rywfaint wrth bennu'r gyllideb, nid yw'n gyson ym mhob gwasanaeth ac mae angen ei ffurfioli er mwyn sicrhau bod gan y Cyngor ddull darbodus ac ystyriol.

## Tudalen 80



**Mae gan y Cyngor drefniadau cadarn ar gyfer adolygu a herio perfformiad ariannol a chaiff y rhai sy'n gyfrifol am reoli perfformiad ariannol eu dwyn i gyfrif**

- 63 Mae gan y Cyngor fframwaith cadarn ar gyfer adolygu a herio perfformiad ariannol. Mae system rhagweld, monitro ac adrodd newydd y Cyngor, 'Cynllunio Cydweithredol' yn effeithiol o ran sicrhau dull cyson o reoli'r gyllideb ar draws y Cyngor. Fel y nodwyd yn ein Hadroddiad Gwella Blynyddol diwethaf mae 'Cynllunio Cydweithredol' yn sicrhau dull mwy cyson o reoli'r gyllideb ar draws y Cyngor drwy goladu gwybodaeth gyllidebol ar system ar-lein a lleihau'r angen i ddefnyddio amrywiol daenlenni o fewn yr adrannau gwasanaeth gwahanol.
- 64 Mae'r Cabinet yn cael adroddiad misol ar y gyllideb. Mae'r adroddiad yn dangos yr alldro rhagamcanol ar gyfer y flwyddyn (yn hytrach na'r sefyllfa ar adeg benodol) o gymharu â'r gyllideb wreiddiol. Mae'r adroddiadau misol yn cynnwys manylion unrhyw amrywiad sylweddol mewn gwariant ynghyd â chymau cywirol.

# Llywodraethu

**Mae trefniadau craffu'r Cyngor yn ategu proses gwneud penderfyniadau gadarn ac mae prosesau corfforaethol digonol ganddo i ymateb i adroddiadau ac argymhellion gan reoleiddwyr allanol**

**Mae trefniadau craffu'r Cyngor yn ategu proses gwneud penderfyniadau gadarn, ond mae presenoldeb aelodau mewn cyfarfodydd craffu wedi lleihau'n sylweddol**

- 65 Mae cydberthnasau rhwng cynghorwyr a swyddogion yn adeiladol ac fe'u hategir gan hyfforddiant, canllawiau a disgrifiadau rolau priodol. Mae cynghorwyr yn ymddwyn yn briodol ac yn gyffredinol yn ceisio bod yn adeiladol mewn cyfarfodydd pwyllgor, hyd yn oed pan fyddant yn anghytuno â'i gilydd. Prin iawn fu'r achosion o dorri rheolau Cod Ymddygiad yr Aelodau yn Sir Ddinbych dros y blynyddoedd diwethaf. Disgwylir i bob cynghorydd gael hyfforddiant yn y Cod Ymddygiad. Yn briodol ddigon, dim ond ar ôl cael hyfforddiant penodol y gall cynghorwyr gymryd rhan yn y Pwyllgor Trwyddedu a Chynllunio. Nod y Cyngor yw darparu hyfforddiant a datblygiad yn seiliedig ar anghenion ac mae cynghorwyr yn gadarnhaol ar y cyfan ynghylch yr hyfforddiant a gânt.
- 66 Mae'r Cyngor wedi mabwysiadu set briodol o ganllawiau, o fewn ei gyfansoddiad ac mewn manau eraill, yn nodi'r disgwyliadau ar gyfer rolau allweddol pwyllgorau craffu. Mae'n sicrhau bod hyn yn gyfredol ac mae wedi, er enghraifft, datblygu disgrifiad rôl ar gyfer y cadeirydd ac aelodau o'r pwyllgorau.
- 67 Mae'r Cabinet yn cyfarfod yn fisol a threfnir i bob un o'r tri Phwyllgor Craffu gyfarfod bob chwe wythnos. Mae gan bob pwyllgor flaenraglen waith wedi'i diffinio'n dda sy'n ystyried eitemau ar flaengynllun y Cabinet ac mae'n adolygu hwn ym mhob cyfarfod. Mae gan y Cyngor ffocws clir o ran pennu'r rhaglen waith sy'n ystyried y canlynol:
- blaenoriaethau corfforaethol a chyflawni'r Cynllun Corfforaethol;
  - arbedion cyllidebol a'u heffaith ar Sir Ddinbych a'i thrigolion; a
  - blaenoriaethau mawr eraill y gall y broses graffu ddylanwadu arnynt a sicrhau newid.

Mae proses werthuso strwythuredig ar waith sy'n galluogi pwyllgorau craffu i sicrhau bod eu gweithgareddau'n canolbwyntio ar faterion pwysig fel cynnydd a wneir ar brosiectau ac adroddiadau ar berfformiad y Cyngor.

- 68 Mae cyfran o waith pwyllgorau craffu yn golygu gwneud gwaith craffu cyn penderfynu lle mae pwyllgorau yn ystyried materion cyn iddynt gyrraedd y Cabinet er mwyn i benderfyniadau gael eu gwneud. Mae nifer o grwpiau gorchwyl a gorffen, fel grŵp gorchwyl a gorffen 'Torri'r Brethyn' sy'n ystyried arbedion effeithlonrwydd, yn ymgymryd â'r rôl hon. Mae defnyddio proses graffu cyn penderfynu yn helpu i sicrhau bod y penderfyniadau a wneir yn ystyried ystod eang o safbwyntiau gwleidyddol ac yn lleihau'r tebygolrwydd y byddai'r pwyllgor craffu yn 'galw i mewn' benderfyniadau'r Cabinet, gan gynnal llif busnes y Cyngor yn ddiraffferth.
- 69 Yn gyffredinol mae ansawdd y papurau a gyflwynir i'r pwyllgorau craffu yn dda. At hynny, mae cyfraniad helaeth cynghorwyr, er enghraifft, drwy'r rhan a chwaraeant mewn gweithdai ar y gyllideb, yn sicrhau'n gyffredinol bod yr argymhellion mewn papurau pwyllgorau yn debygol o gael lefel fawr o gefnogaeth.
- 70 Mae lefel yr her ac ansawdd y drafodaeth yng nghyfarfodydd y pwyllgorau craffu yn amrywio. Fodd bynnag, rydym wedi arsylwi ar nifer o gyfarfodydd a oedd yn cynnwys her gadarn a hyddysg i'r staff neu i aelodau'r Cabinet a oedd yn cyflwyno'r papurau.
- 71 Mae'r Cyngor wedi datblygu Cynllun Gweithredu Gwella Craffu, y caiff ei gynnydd ei fonitro'n rheolaidd. Serch hynny, mae rhai agweddau ar y trefniadau craffu, er eu bod wedi cael eu hatgyfnerthu, yn parhau i fod yn anghyson fel cyflwyno adroddiadau, sydd ar adegau yn cael eu cyflwyno gan yr aelod perthnasol o'r cabinet, ac ar adegau eraill gan y swyddog arweiniol (tra bod yr Aelod Cabinet yn bresennol). Mae hyn yn drysu llinellau atebolrwydd a chyfrifoldeb.
- 72 Mae'r Pwyllgor Llywodraethu Corfforaethol yn datblygu'n dda ac yn systematig wrth sicrhau ei hun bod argymhellion mewn adroddiadau Archwilio Mewnol wedi cael eu rhoi ar waith. Caiff yr aelodau perthnasol o'r Cabinet, yn hytrach na'r swyddogion, eu dwyn i gyfrif gan y Pwyllgor Llywodraethu Corfforaethol ac mae'r cydbwysedd o gyfraniadau gan yr aelod o'r Cabinet yn briodol.
- 73 Mae'r lefel presenoldeb mewn cyfarfodydd craffu ac yn y Pwyllgor Llywodraethu Corfforaethol wedi lleihau ac mae'r Cyngor yn ceisio mynd i'r afael â'r broblem hon. Mae uwch swyddogion ac Aelodau etholedig y gwnaethom siarad â hwy yn gofidio am y lleihad hwn mewn presenoldeb ac mewn rhai cyfarfodydd a arsylwyd gennym dim ond digon i wneud cworwm oedd yno. Mae dadansoddi lefelau presenoldeb yn dangos bod y lleihad hwn yn y nifer sy'n cyfranogi wedi bod yn broblem gynyddol yn ystod y flwyddyn ddiwethaf. Yn y gorffennol, mae'r Cyngor wedi ceisio cynnal rhai cyfarfodydd craffu ar adegau gwahanol o'r dydd ond ni wnaeth hyn wella lefelau presenoldeb. Mae'r rhesymau dros y lleihad hwn yn aneglur ond mae angen gwrthdroi'r duedd er mwyn cynnal y lefel ofynnol o sicrwydd ynghylch trefniadau craffu'r Cyngor.

## Mae gan y Cyngor brosesau corfforaethol digonol ar gyfer ymateb i adroddiadau ac argymhellion gan reoleiddwyr allanol

- 74 Mae gan y Cyngor brosesau corfforaethol digonol ar gyfer ymateb i adroddiadau gan Archwilydd Cyffredinol Cymru, olrhain y broses o weithredu argymhellion a chyflwyno adroddiadau ar hyn yng nghyfarfodydd y Cyngor. Yn ein Hadroddiad Gwella Blynyddol yn 2015 cynigiwyd y dylai'r Cyngor adolygu ei arferion gwaith yn erbyn yr argymhellion ym mhym Adroddiad Cenedlaethol 2014-15 yr Archwilydd Cyffredinol ar Lywodraeth Leol a rhoi'r gwelliannau ar waith fel y bo angen.
- 75 Trafododd y Cyngor rai o'r adroddiadau unigol mewn pwyllgorau craffu a'r Pwyllgor Llywodraethu Corfforaethol a lluniodd adolygiad cynhwysfawr a chynllun gweithredu ar gyfer pob adroddiad a gyflwynwyd i'r Cyngor llawn ym mis Hydref 2015. Nid yw'r Cyngor wedi adrodd yn ôl eto i'r pwyllgor priodol ar gynnydd a wnaed gyda'r cynllun gweithredu.
- 76 Ers i'r Adroddiad Gwella Blynyddol diwethaf gael ei gyhoeddi mae pum Adroddiad Cenedlaethol arall gydag argymhellion a all fod yn berthnasol i'r Cyngor wedi cael eu cyhoeddi. Ceir rhestr o argymhellion mewn adroddiadau a gyhoeddwyd yn 2015-16 yn [Atodiad 3](#).

# Atodiad 1 – Statws yr adroddiad hwn

O dan Fesur Llywodraeth Leol (Cymru) 2009 (y Mesur) mae'n ofynnol i'r Archwilydd Cyffredinol gynnal asesiad gwella blynyddol, a chyhoeddi adroddiad gwella blynyddol, ar gyfer pob awdurdod gwella yng Nghymru. Mae'r gofyniad hwn yn cwmpasu cynghorau lleol, parciau cenedlaethol ac awdurdodau tân ac achub.

Lluniwyd yr adroddiad hwn gan staff Swyddfa Archwilio Cymru ar ran yr Archwilydd Cyffredinol er mwyn cyflawni ei ddyletswyddau o dan adran 24 o'r Mesur. Mae'r adroddiad hefyd yn cyflawni ei ddyletswyddau o dan adran 19 i gyflwyno adroddiad sy'n ardystio ei fod wedi cynnal asesiad gwella o dan adran 18 ac yn nodi a yw o'r farn, o ganlyniad i'w archwiliad o'r cynllun gwella o dan adran 17, fod yr awdurdod wedi cyflawni ei ddyletswyddau o ran cynllunio gwelliant o dan adran 15.

Mae gan awdurdodau gwella ddyletswydd gyffredinol i 'wneud trefniadau i sicrhau gwelliant parhaus wrth gyflawni eu swyddogaethau'. Diffinnir awdurdodau gwella fel cynghorau lleol, parciau cenedlaethol ac awdurdodau tân ac achub.

Yr asesiad gwella blynyddol yw'r prif ddarn o waith sy'n galluogi'r Archwilydd Cyffredinol i gyflawni ei ddyletswyddau. Mae'r asesiad gwella yn asesiad sy'n edrych i'r dyfodol o'r tebygolrwydd y bydd awdurdod yn cydymffurfio â'i ddyletswydd i wneud trefniadau i sicrhau gwelliant parhaus. Mae hefyd yn cynnwys asesiad ôl-weithredol i nodi a yw awdurdod wedi cyflawni'r gwelliannau a gynlluniwyd ganddo er mwyn llunio barn ar hanes yr awdurdod o ran sicrhau gwelliant. Bydd yr Archwilydd Cyffredinol yn crynhoi ei waith archwilio ac asesu mewn adroddiad gwella blynyddol cyhoeddedig ar gyfer pob awdurdod (o dan adran 24).

O dan rai amgylchiadau, gall yr Archwilydd Cyffredinol hefyd gynnal arolygiadau arbennig (o dan adran 21), y cyflwynir adroddiad arnynt i'r awdurdod a'r Gweinidogion, ac y gall eu cyhoeddi (o dan adran 22). Un o weithgareddau atodol pwysig yr Archwilydd Cyffredinol yw cydgysylltu gwaith asesu a gwaith rheoliadol (sy'n ofynnol o dan adran 23), sy'n ystyried rhaglen waith gyffredinol pob rheoleiddiwr perthnasol mewn awdurdod gwella. Gall yr Archwilydd Cyffredinol hefyd ystyried gwybodaeth a rennir gan reoleiddwyr perthnasol (o dan adran 33) yn ei asesiadau.

# Atodiad 2 – Llythyr Archwilio Blynyddol

Y Cyngorydd Hugh Evans - Arweinydd  
Dr. Mohammed Mehmet - Prif Weithredwr  
Cyngor Sir Ddinbych  
Neuadd y Sir  
Ffordd Wynnstay  
Rhuthun  
Sir Ddinbych  
LL15 1YN

27 Tachwedd 2015

Annwyl Gyngorydd Evans a Dr Mehmet

## Llythyr Archwilio Blynyddol – Cyngor Sir Ddinbych 2014-15

Mae'r llythyr hwn yn crynhoi'r negeseuon allweddol sy'n deillio o gyfrifoldebau statudol Archwilydd Cyffredinol Cymru o dan Ddeddf Archwilio Cyhoeddus (Cymru) 2004 a'm cyfrifoldebau adrodd o dan y Cod Ymarfer Archwilio.

### Cydymffurfiodd Cyngor Sir Ddinbych â'i gyfrifoldebau yn ymwneud ag adroddiadau ariannol a defnyddio adnoddau

Cyfrifoldeb y Cyngor yw:

- rhoi systemau rheolaeth fewnol ar waith i sicrhau rheoleidd-dra a chyfreithlondeb trafodion a sicrhau bod ei asedau'n ddiogel;
- cadw cofnodion cyfrifyddu cywir;
- paratoi Datganiad Cyfrifon yn unol â gofynion perthnasol; a
- sefydlu ac adolygu'n barhaus drefniadau priodol i sicrhau darbodusrwydd, effeithlonrwydd ac effeithiolrwydd o ran ei ddefnydd o adnoddau.

Mae Deddf Archwilio Cyhoeddus (Cymru) 2004 yn ei gwneud yn ofynnol i Archwilydd Cyffredinol Cymru:

- roi barn archwilio ar y datganiadau cyfrifyddu;
- adolygu trefniadau'r Cyngor i sicrhau darbodusrwydd, effeithlonrwydd ac effeithiolrwydd yn ei ddefnydd o adnoddau; a
- rhoi tystysgrif yn cadarnhau bod y broses o archwilio'r cyfrifon wedi ei chwblhau.

Mae awdurdodau lleol yng Nghymru yn paratoi eu datganiadau cyfrifyddu yn unol â gofynion Cod Ymarfer CIPFA/LASAAC ar Gyfrifyddu Awdurdodau Lleol yn y Deyrnas Unedig. Mae'r Cod hwn yn seiliedig ar Safonau Adrodd Ariannol Rhyngwladol. Ar 30 Medi 2015, rhoddodd Archwilydd Cyffredinol Cymru farn archwilio ddiarnod ar y datganiadau cyfrifyddu, gan gadarnhau eu bod yn rhoi darlun cywir a theg o sefyllfa ariannol a thrafodion y Cyngor. Mae'r adroddiad hwn wedi'i gynnwys yn y Datganiad Cyfrifon. Nodwyd y materion allweddol a oedd yn deillio o'r archwiliad o gyfrifon i aelodau'r Pwyllgor Llywodraethu Corfforethol yn yr adroddiad ar yr Archwiliad o Ddatganiadau Ariannol ar 28 Medi 2015.

**Mae Archwilydd Cyffredinol Cymru yn fodlon bod gan y Cyngor drefniadau priodol ar waith i sicrhau darbodusrwydd, effeithlonrwydd ac effeithiolrwydd yn ei ddefnydd o adnoddau**

Mae ystyriaeth Archwilydd Cyffredinol Cymru o drefniadau'r Cyngor i sicrhau darbodusrwydd, effeithlonrwydd ac effeithiolrwydd wedi'i seilio ar y gwaith archwilio a wnaed ar y cyfrifon a hefyd wedi dibynnu ar y gwaith a gwblhawyd fel rhan o'r Asesiad Gwella o dan Fesur Llywodraeth Leol (Cymru) 2009. Bydd yr Adroddiad Gwella Blynnyddol yn tynnu sylw at feysydd lle nad yw effeithiolrwydd y trefniadau hyn wedi'i ddangos eto neu lle y gellid gwneud gwelliannau.

**Cyhoeddodd Archwilydd Cyffredinol Cymru dystysgrif yn cadarnhau bod yr archwiliad o'r cyfrifon wedi'i gwblhau ar 30 Medi 2015.**

**Nid yw'r gwaith a wnaed hyd yma yn ardystio hawliadau a ffurflenni grant wedi nodi materion sylweddol a fyddai'n effeithio ar gyfrifon 2015-16 na systemau ariannol allweddol.**

Bydd adroddiad manylach ar waith ardystio grantiau yn dilyn yn 2016 unwaith y bydd rhaglen waith ardystio eleni wedi'i chwblhau.

Ar hyn o bryd, disgwylir i'r ffi archwilio ariannol ar gyfer 2014-15 fod yn unol â'r ffi y cytunwyd arni a nodir yn yr Amlinelliad o'r Archwiliad Blynnyddol.

Yn gywir

**Derwyn Owen**  
**Dros ac ar ran Archwilydd Cyffredinol Cymru**

# Atodiad 3 – Argymhellion adroddiadau cenedlaethol 2015-16

Dyddiad yr adroddiad	Teitl yr adolygiad	Argymhelliad
Ebrill 2015	Cydnherthedd ariannol cynghorau yng Nghymru	A1 Dylai cynghorau sicrhau bod eu cynllun corfforaethol: <ul style="list-style-type: none"> <li>• wrth wraidd y broses o lywio cynlluniau gwasanaeth a strategaethau ategol eraill gan gynnwys y gweithlu, technoleg gwybodaeth a gwariant cyfalaf;</li> <li>• yn cynnal blaenolwg tair i bum mlynedd o leiaf a'i fod yn unol â'r cynllun ariannol tymor canolig a strategaethau ategol eraill; ac</li> <li>• dylai nodi'n glir rôl ddymunol y cyngor mewn pum mlynedd - y model ar gyfer darparu gwasanaethau â blaenoriaeth a'r seilwaith a'r adnoddau sydd eu hangen i gyflawni blaenoriaethau yn y dyfodol o fewn y cyllid sydd ar gael.</li> </ul>
		A2 Dylai'r cynllun ariannol tymor canolig nodi'r prif risgiau ariannol a thybjaethau allweddol a dylai uwch swyddogion a chynghorwyr graffu arnynt a'u herio'n effeithiol cyn mabwysiadu'r cynllun.
		A3 Mae angen i gynghorau sicrhau bod diffygion ariannol yn cael eu rhagamcanu'n gywir a'u cysoni'n llawn â chynlluniau arbed manwl ar gyfer pob blwyddyn o oes y cynllun ariannol tymor canolig.
		A4 Dylai cynghorau adolygu digonolrwydd y trefniadau sicrwydd ariannol sy'n sail i gyflawni cynlluniau arbed blynyddol, gan gynnwys lefel y gwaith craffu a herio a gynigir gan gynghorwyr.
		A5 Dylai cynghorau sicrhau bod ganddynt strategaeth cronfeydd wrth gefn gynhwysfawr sy'n amlinellu diben penodol cronfeydd wrth gefn defnyddiadwy cronedig fel rhan o'u Cynllun Ariannol Tymor Canolig.
		A6 Dylai cynghorau ddatblygu polisïau cwbl gorfforaethol ar gynhyrchu incwm gyda'r nod o gynyddu ffrydiau refeniw a lleihau pwysau ariannol.
		A7 Dylai cynghorau: <ul style="list-style-type: none"> <li>• atgyfnerthu trefniadau pennu a monitro cyllidebau er mwyn sicrhau cydnherthedd ariannol; a</li> <li>• adolygu cwmipas ac effeithiolrwydd eu systemau a'u rheolaethau ariannol mewnol ac allanol er mwyn sicrhau eu bod yn addas at y diben ac yn rhoi rhybudd cynnar am wendidau mewn systemau allweddol.</li> </ul>
		A8 Rhaid i gynghorau adolygu eu timau cyllid a sicrhau bod ganddynt ddigon o adnoddau a gallu i fodloni gofynion yn y dyfodol.
		A9 Mae angen i swyddogion cynghorau sicrhau bod gan gynghorwyr y wybodaeth a'r sgiliau sydd eu hangen arnynt i gyflawni gwaith llywodraethu a herio effeithiol drwy ymestyn cyfleoedd hyfforddi a llunio gwybodaeth reoli o ansawdd uchel.

## Tudalen 88



Dyddiad yr adroddiad	Teitl yr adolygiad	Argymhelliad
Mehefin 2015	<p><b>Sicrhau gwelliannau yn y cymorth i ysgolion trwy gonsortia addysg rhanbarthol – darlun cynnar</b></p>	<p>A1 Egluro natur a gweithrediad consortia. Nodwyd gennym fod ansicrwydd parhaus ynglŷn â rhai agweddau ar natur consortia rhanbarthol a'u cwmpas nawr ac yn y dyfodol (paragraffau 2.2 i 2.20). Felly, rydym yn argymhell y canlynol:</p> <ul style="list-style-type: none"> <li>Dylai awdurdodau lleol egluro a yw gwasanaethau consortia yn cael eu darparu ar y cyd neu a ydynt yn wasanaethau a gomisiynwyd (mae gwasanaethau a ddarperir o dan drefniadau cydbwyllgor yn wasanaethau a ddarperir ar y cyd ac nid ydynt yn wasanaethau a gomisiynwyd.</li> </ul> <p>A2 Canolbwyntio ar ganlyniadau drwy waith cynllunio tymor canolig. Nodwyd gennym fod ffocws ar gamau gweithredu byrdymor ac ansicrwydd ynglŷn â dyfodol consortia yn rhwystro'r gwaith o ddatblygu consortia rhanbarthol effeithiol (paragraffau 2.33 i 2.36; 3.16 i 3.17). Felly, rydym yn argymhell y canlynol:</p> <ul style="list-style-type: none"> <li>Gan na chaiff unrhyw raglen bosibl i ad-drefnu awdurdodau lleol ei rhoi ar waith yn llawn tan 2020, dylai Llywodraeth Cymru a chonsortia rhanbarthol ddatblygu cynlluniau tair blynedd ar gyfer datblygu consortia rhanbarthol ymhellach, pennu eu cwmpas a'u cyllid, wedi'u cysylltu ag amcanion strategol priodol.</li> </ul> <p>A3 Datblygu cydberthnasau mwy cydweithredol ar gyfer y system gwella ysgolion. Cyfrannodd llawer o bartneriaid gwella ysgolion at y gwaith o ddatblygu'r Model Cenedlaethol ar gyfer Gweithio'n Rhanbarthol ond nodwyd gennym nad oedd hyn wedi arwain at ddatblygu cydberthnasau digon cydweithredol (paragraffau 2.25 i 2.32). Felly, rydym yn argymhell y canlynol:</p> <ul style="list-style-type: none"> <li>Dylai consortia rhanbarthol ddatblygu trefniadau gwell ar gyfer rhannu arfer a chefnogi effeithlonrwydd (er enghraifft, gallai un consortiwm arwain y gwaith o fynd i'r afael â mater neu gallai fod ganddo gyfrifoldeb gweithredol am ddatblygu polisi).</li> <li>Dylai Llywodraeth Cymru, awdurdodau lleol a chonsortia rhanbarthol gydnabod cyd-ddibyniaeth yr holl bartneriaid wrth gyflawni eu rolau gwella ysgolion a chytuno ar ddull o wneud y canlynol: <ul style="list-style-type: none"> <li>rhannu gwybodaeth am ddatblygiadau sy'n ymwneud â gwella ysgolion ac ymgynghori yn eu cylch;</li> <li>datblygu cydberthnasau cydweithredol sy'n seiliedig ar atebolrwydd a rennir; ac</li> <li>chynnal adolygiadau system gyfan a chysoni'r ddealltwriaeth o gonsortia rhanbarthol a sefyllfa consortia rhanbarthol ym mhob un o strategaethau perthnasol Llywodraeth Cymru.</li> </ul> </li> </ul>

Dyddiad yr adroddiad	Teitl yr adolygiad	Argymhelliad
Mehefin 2015	Sicrhau gwelliannau yn y cymorth i ysgolion trwy gonsortia addysg rhanbarthol – darlun cynnar	<p>A4 Datblygu arweinwyr effeithiol a denu'r dalent orau. Mae consortia rhanbarthol, awdurdodau lleol a Llywodraeth Cymru oll wedi'i chael hi'n anodd recriwtio uwch arweinwyr ar gyfer addysg a nodwyd gennym nad oes fawr ddim wedi'i wneud i fynd i'r afael â hyn (paragraffau 2.37 i 2.40). Felly, rydym yn argymhell y canlynol:</p> <ul style="list-style-type: none"> <li>dylai Llywodraeth Cymru ac awdurdodau lleol gydweithredu i wneud rolau arwain ym maes addysg yn fwy deniadol er mwyn denu'r arweinwyr mwyaf talentog ar gyfer y system gwella ysgolion; a</li> <li>dylai awdurdodau lleol gydweithredu er mwyn cefnogi datblygiad proffesiynol uwch arweinwyr a sicrhau bod trefniadau rheoli perfformiad priodol ar waith ar gyfer uwch arweinwyr.</li> </ul>
		<p>A5 Gwella effeithiolrwydd trefniadau llywodraethu a rheoli consortia rhanbarthol. Er bod cynnydd yn parhau i gael ei wneud, nodwyd nad yw consortia rhanbarthol wedi datblygu trefniadau llywodraethu a rheoli ariannol cwbl effeithiol eto (paragraffau 3.2 i 3.36). Felly, rydym yn argymhell y dylai awdurdodau lleol a'u consortia rhanbarthol wneud y canlynol:</p> <ul style="list-style-type: none"> <li>gwneud gwell defnydd o hunanwerthusiadau o'u perfformiad a'u trefniadau llywodraethu i ategu gwaith cynllunio busnes a'u hadolygiadau blynyddol o drefniadau llywodraethu er mwyn llywio eu datganiadau llywodraethu blynyddol;</li> <li>gwella prosesau gwella perfformiad gan gynnwys gwella prosesau cynllunio busnes, defnyddio mesurau perfformiad clir a mesuradwy ac asesu gwerth am arian;</li> <li>sicrhau bod rheoli risg strategol yn rhan annatod o'u trefniadau rheoli a chyflwyno adroddiadau rheolaidd ar lefel y cydbwyllgor neu'r bwrdd;</li> <li>datblygu eu trefniadau rheoli ariannol er mwyn sicrhau bod gweithgarwch cyllidebu, monitro ariannol ac adrodd yn cwmpasu'r holl incwm a gwariant perthnasol, gan gynnwys arian grant a gaiff ei wario drwy awdurdodau lleol;</li> <li>datblygu trefniadau craffu ar y cyd y consortia yn gyffredinol yn ogystal â gwaith craffu perfformiad a wneir gan awdurdodau unigol, a all gynnwys sefydlu cydbwyllgor craffu neu waith cydgysylltiedig gan bwyllgorau craffu awdurdodau lleol;</li> <li>sicrhau bod prosesau gwneud penderfyniadau a threfniadau consortia yn agored ac yn dryloyw;</li> <li>adnabod unrhyw wrthdaro buddiannau posibl a mynd i'r afael ag ef; a phan fo gan staff fwy nag un cyflogwr, dylai consortia rhanbarthol sicrhau bod llinellau atebolrwydd yn glir a bod pob aelod o staff yn ymwybodol o'r rolau a gyflawnir; ac</li> <li>datblygu strategaethau cyfathrebu cadarn ar gyfer ymgysylltu â phob rhanddeiliad allweddol.</li> </ul>

## Tudalen 90

Dyddiad yr adroddiad	Teitl yr adolygiad	Argymhelliad
Gorffennaf 2015	<p><b>Adolygu Trefniadau Diogelu Corfforaethol mewn Cyngorau yng Nghymru</b></p>	<p>A1 Gwella arweinyddiaeth gorfforol a chydymffurfio â pholisi Llywodraeth Cymru ar ddiogelu drwy wneud y canlynol:</p> <ul style="list-style-type: none"> <li>• penodi uwch swyddog arweiniol sy'n atebol am ddiogelu ac amddiffyn plant a phobl ifanc ac sydd â chyfrifoldebau corfforaethol am gynllunio gwelliannau;</li> <li>• penodi aelod diogelu arweiniol; ac</li> <li>• lledaenu gwybodaeth am y penodiadau hyn i bob aelod o staff a rhanddeiliad a'i diweddarau yn rheolaidd.</li> </ul> <p>A2 Sicrhau bod polisi cwbl gorfforaethol ar ddiogelu sy'n cwmpasu holl wasanaethau'r Cyngor er mwyn cynnig cyfeiriad strategol clir a llinellau atebolrwydd clir ym mhob rhan o'r Cyngor.</p> <p>A3 Atgyfnerthu'r trefniadau ar gyfer recriwtio staff a gwirfoddolwyr mewn modd diogel drwy wneud y canlynol:</p> <ul style="list-style-type: none"> <li>• sicrhau bod gwiriadau'r Gwasanaeth Datgelu a Gwahardd (DBS) a chydymffurfiaeth â pholisïau recriwtio'n ddiogel yn cwmpasu'r holl wasanaethau sy'n dod i gysylltiad â phlant;</li> <li>• creu system cydymffurfiaeth gorfforaethol integredig i gofnodi a monitro lefelau cydymffurfiaeth o ran gwiriadau'r Gwasanaeth Datgelu a Gwahardd; ac</li> <li>• gofyn am arferion recriwtio'n ddiogel ymhlith partneriaid yn y trydydd sector ac ar gyfer gwirfoddolwyr sy'n darparu gwasanaethau a gomisiynir a/neu a ddefnyddir gan y Cyngor a ategir gan contract neu gytundeb lefel gwasanaeth.</li> </ul> <p>A4 Sicrhau bod pob aelod perthnasol o staff a phob aelod a phartner perthnasol yn deall eu cyfrifoldebau o ran diogelu drwy wneud y canlynol:</p> <ul style="list-style-type: none"> <li>• sicrhau bod hyfforddiant diogelu yn orfodol a bod ei gwmpas yn cael ei ymestyn i gynnwys holl feysydd gwasanaeth perthnasol y Cyngor a'i fod yn cael ei gynnwys fel rhywbeth safonol mewn rhaglenni sefydlu;</li> <li>• llunio system gwbl gorfforaethol i nodi, olrhain a monitro cydymffurfiaeth o ran cael hyfforddiant diogelu yn holl adrannau'r Cyngor ac ymhlith aelodau etholedig, ysgolion, llywodraethwyr a gwirfoddolwyr; ac</li> <li>• mynnu bod staff perthnasol, mewn sefydliadau partner sydd wedi'u comisiynu i weithio i'r Cyngor drwy ddarparu gwasanaethau i blant a phobl ifanc, yn cael hyfforddiant diogelu.</li> </ul> <p>A5 Wrth ddiwygio'r canllawiau, dylai Llywodraeth Cymru egluro'r hyn y mae'n ei ddisgwyl gan awdurdodau lleol o ran rolau a chyfrifoldebau'r swyddog dynodedig o fewn gwasanaethau addysg a'r unigolyn a enwir ar lefel uwch reolwr sy'n gyfrifol am hyrwyddo diogelwch plant.</p>

Dyddiad yr adroddiad	Teitl yr adolygiad	Argymhelliad
Gorffennaf 2015	Adolygu Trefniadau Diogelu Corfforaethol mewn Cyngorau yng Nghymru	A6 Gwella atebolrwydd am weithgarwch diogelu corfforaethol drwy gyflwyno adroddiadau rheolaidd ar faterion diogelu a sicrwydd i'r pwyllgor(au) craffu yn erbyn set gytbwys o wybodaeth am berfformiad ym mhob rhan o'r Cyngor sy'n cynnwys y canlynol: <ul style="list-style-type: none"> <li>• meincnodi a chymariaethau ag eraill;</li> <li>• casgliadau adolygiadau archwilio/arolygu mewnol ac allanol;</li> <li>• data perfformiad sy'n seiliedig ar wasanaethau;</li> <li>• data personél allweddol megis hyfforddiant diogelu a gwiriadau recriwtio'r Gwasanaeth Datgelu a Gwahardd; ac</li> <li>• pherfformiad contractwyr a gwasanaethau a gomisiynwyd o ran cydymffurfio â chyfrifoldebau diogelu'r Cyngor.</li> </ul>
		A7 Sefydlu rhaglen dreigl o adolygiadau archwilio mewnol i brofi systemau a chynnal adolygiadau o gydymffurfiaeth o ran arferion diogelu'r Cyngor.
		A8 Sicrhau y caiff y risgiau sy'n gysylltiedig â diogelu plant eu hystyried ar lefel gorfforaethol a lefel gwasanaeth wrth ddatblygu cynlluniau rheoli risg a chytuno arnynt ym mhob rhan o'r Cyngor.
Hydref 2015	Helpu Pobl Hŷn i Fyw'n Annibynnol: A yw Cyngorau'n Gwneud Digon?	A1 Gwella trefniadau llywodraethu, atebolrwydd ac arweinyddiaeth gorfforaethol mewn perthynas â materion pobl hŷn drwy wneud y canlynol: <ul style="list-style-type: none"> <li>• penodi uwch swyddog arweiniol sy'n gyfrifol am gydgysylltu ac arwain gwaith y Cyngor ar wasanaethau pobl hŷn.</li> <li>• ailalinio gwaith cydgysylltwyr y strategaeth pobl hŷn er mwyn helpu i ddatblygu a chyflawni cynlluniau ar gyfer gwasanaethau sy'n cyfrannu at annibyniaeth pobl hŷn;</li> <li>• penodi aelod yn hyrwyddwr gwasanaethau pobl hŷn; ac</li> <li>• lledaenu gwybodaeth am y penodiadau hyn i bob aelod o staff a rhanddeiliad a'i diweddarau yn rheolaidd.</li> </ul>
		A2 Gwella prosesau cynllunio strategol a chydgyssylltu gweithgarwch yn well ar gyfer gwasanaethau i bobl hŷn drwy wneud y canlynol: <ul style="list-style-type: none"> <li>• sicrhau bod cynlluniau gweithredu cynhwysfawr ar waith sy'n cwmpasu gwaith holl adrannau perthnasol y Cyngor a gwaith rhanddeiliaid allanol y tu allan i faes iechyd a gofal cymdeithasol; ac</li> <li>• gweithio gyda thrigolion a phartneriaid i ddatblygu cynlluniau ac wrth ddatblygu blaenoriaethau a chytuno arnynt.</li> </ul>
		A3 Ymgysylltu'n well a phobl hŷn a gwella'r ffordd y caiff gwybodaeth ei lledaenu iddynt drwy sicrhau bod gwasanaethau cyngor a gwybodaeth wedi'u cyflunio'n briodol a'u bod yn diwallu anghenion y rhai sy'n eu cael.

## Tudalen 92

Dyddiad yr adroddiad	Teitl yr adolygiad	Argymhelliad
Hydref 2015	<p><b>Helpu Pobl Hŷn i Fyw'n Annibynnol: A yw Cyngorau'n Gwneud Digon?</b></p>	<p>A4 Sicrhau y caiff perfformiad yr ystod o wasanaethau sy'n helpu pobl hŷn i fyw'n annibynnol eu rheoli'n effeithiol drwy wneud y canlynol:</p> <ul style="list-style-type: none"> <li>• pennu mesurau priodol i alluogi aelodau, swyddogion a'r cyhoedd i lunio barn ar gynnydd wrth gyflawni camau gweithredu ar gyfer holl wasanaethau'r Cyngor;</li> <li>• sicrhau bod gwybodaeth am berfformiad yn ymdrin â gwaith yr holl asiantaethau perthnasol ac yn enwedig y rhai y tu allan i faes iechyd a gwasanaethau cymdeithasol; ac</li> <li>• nodi mesurau i farnu mewnbynnau, allbynnau ac effaith fel y gellir deall effaith toriadau cyllidebol a chefnogi gweithgarwch goruchwyllo a chraffu.</li> </ul> <p>A5 Sicrhau cydymffurfiaeth â Dyletswydd Cydraddoldeb y Sector Cyhoeddus wrth gynnal asesiadau o'r effaith ar gydraddoldeb drwy wneud y canlynol:</p> <ul style="list-style-type: none"> <li>• nodi sut y bydd newidiadau i wasanaethau neu doriadau mewn cyllidebau yn effeithio ar grwpiau â nodweddion gwarchoddedig;</li> <li>• mesur yr effaith bosibl a'r camau lliniaru a gymerir er mwyn lleihau'r effaith negyddol bosibl ar grwpiau â nodweddion gwarchoddedig;</li> <li>• nodi nifer y bobl y gallai'r newidiadau arfaethedig neu'r polisi newydd effeithio arnynt drwy nodi'r effaith ar y rhai sydd â nodweddion gwarchoddedig; ac</li> <li>• sicrhau bod gweithgarwch ategol megis arolygon, grwpiau ffocws ac ymgyrchoedd gwybodaeth yn cynnwys digon o wybodaeth i alluogi defnyddwyr gwasanaethau i ddeall yr effaith a gaiff newidiadau arfaethedig arnynt yn glir.</li> </ul> <p>A6 Gwella'r ffordd y rheolir y Gronfa Gofal Canolraddol a sicrhau ei bod yn cael mwy o effaith drwy wneud y canlynol:</p> <ul style="list-style-type: none"> <li>• pennu llinell sylfaen ar gyfer perfformiad ar ddechrau prosiectau fel y gellir barnu effaith y rhain dros amser;</li> <li>• cytuno ar fformat a chwmpas adroddiadau monitro fel y gellir gwerthuso prosiectau a ariennir ar sail gyfatebol yn erbyn meini prawf y gronfa, er mwyn barnu pa rai sy'n cael yr effaith gadarnhaol fwyaf a faint o gynlluniau sydd wedi'u prif ffrydio i gyllid craidd; ac</li> <li>• ymgysylltu'n well â phob partner er mwyn sicrhau y caiff cymaint o bartneriaid â phosibl eu hannog i gymryd rhan mewn mentrau a rhaglenni yn y dyfodol.</li> </ul>

Dyddiad yr adroddiad	Teitl yr adolygiad	Argymhelliad
Rhagfyr 2015	<b>Cyflawni â llai – Gwasanaethau Hamdden</b>	<p>A1 Gwella gwaith cynllunio strategol ym maes gwasanaethau hamdden drwy wneud y canlynol:</p> <ul style="list-style-type: none"> <li>• pennu gweledigaeth gytûn y Cyngor ar gyfer gwasanaethau hamdden;</li> <li>• cytuno ar flaenoriaethau ar gyfer gwasanaethau hamdden;</li> <li>• canolbwyntio ar sefyllfa'r Cyngor o fewn darpariaeth chwaraeon a hamdden y gymuned ehangach yn yr ardal; ac</li> <li>• ystyried y potensial ar gyfer darparu gwasanaethau ar sail ranbarthol.</li> </ul> <p>A2 Cynnal arfarniad o opsiynau er mwyn nodi'r model cyflawni mwyaf priodol yn seiliedig ar weledigaeth gytûn a blaenoriaethau'r Cyngor ar gyfer gwasanaethau hamdden sy'n ystyried y canlynol:</p> <ul style="list-style-type: none"> <li>• argaeledd cyllid cyfalaf a chyllid refeniw yn ystod y tair i bum mlynedd nesaf;</li> <li>• opsiynau i wella ffocws masnachol gwasanaethau hamdden;</li> <li>• cyfleoedd i wella prosesau cynhyrchu incwm a lleihau 'cymhorthdal' y Cyngor;</li> <li>• dadansoddi cost a budd o'r holl opsiynau sydd ar gael i ddarparu gwasanaethau hamdden yn y dyfodol;</li> <li>• cyfraniad gwasanaethau hamdden at rôl ehangach y Cyngor o ran iechyd y cyhoedd;</li> <li>• ymgysylltu'n well â'r cyhoedd er mwyn sicrhau y caiff barn ac anghenion defnyddwyr a darpar ddefnyddwyr eu nodi'n glir;</li> <li>• effaith opsiynau gwahanol ar grwpiau â nodweddion gwarchoddedig o dan ddyletswydd cydraddoldeb y sector cyhoeddus; ac</li> <li>• chynaliadwyedd y gwasanaethau a ddarperir yn y dyfodol.</li> </ul> <p>A3 Sicrhau y caiff perfformiad gwasanaethau hamdden eu rheoli'n effeithiol drwy nodi cyfres o fesurau i alluogi swyddogion, aelodau a dinasyddion i farnu mewnbynnau, allbynnau ac effaith. Dylai hyn gwmpasu perfformiad ym mhob rhan o'r Cyngor a pherfformiad cyfleuster-benodol a chynnwys y canlynol:</p> <ul style="list-style-type: none"> <li>• gwariant cyfalaf a refeniw;</li> <li>• incwm;</li> <li>• 'cymhorthdal' y Cyngor;</li> <li>• ansawdd cyfleusterau a'r gwasanaeth a ddarperir;</li> <li>• boddhad cwsmeriaid;</li> <li>• llwyddiant mentrau 'masnachol newydd';</li> <li>• data defnydd – nifer y bobl sy'n defnyddio gwasanaethau/cyfleusterau, pryd y cawsant eu defnyddio, ac ati; ac</li> <li>• effaith hamdden o ran mynd i'r afael â blaenoriaethau ym maes iechyd y cyhoedd.</li> </ul>

## Tudalen 94

Dyddiad yr adroddiad	Teitl yr adolygiad	Argymhelliad
Rhagfyr 2015	Cyflawni â llai – Gwasanaethau Hamdden	<p>A4 Gwella trefniadau llywodraethu, atebolrwydd ac arweinyddiaeth gorfforaethol mewn perthynas â gwasanaethau hamdden drwy wneud y canlynol:</p> <ul style="list-style-type: none"> <li>• cyflwyno adroddiadau rheolaidd ar berfformiad i'r pwyllgor(au) craffu;</li> <li>• rhoi gwybodaeth gynhwysfawr i aelodau etholedig er mwyn helpu i sicrhau y gwneir penderfyniadau cadarn;</li> <li>• meincnodi a chymharu perfformiad ag eraill; ac</li> <li>• defnyddio canfyddiadau adolygiadau archwilio/arolygu mewnol ac allanol i nodi cyfleoedd i wella gwasanaethau.</li> </ul>

Wales Audit Office

24 Cathedral Road

Cardiff CF11 9LJ

Tel: 029 2032 0500

Fax: 029 2032 0600

Textphone: 029 2032 0660

E-mail: [info@audit.wales](mailto:info@audit.wales)

Website: [www.audit.wales](http://www.audit.wales)

Swyddfa Archwilio Cymru

24 Heol y Gadeirlan

Caerdydd CF11 9LJ

Ffôn: 029 2032 0500

Ffacs: 029 2032 0600

Ffôn Testun: 029 2032 0660

E-bost: [post@archwilio.cymru](mailto:post@archwilio.cymru)

Gwefan: [www.archwilio.cymru](http://www.archwilio.cymru)





WALES AUDIT OFFICE  
SWYDDFA ARCHWILIO CYMRU

Mawrth 2016

March 2016

# Cyngor Sir Ddinbych Denbighshire County Council

Adroddiad Gwella Blynyddol  
Annual Improvement Report

Tudalen 97

Gwilym Bury  
Jeremy Evans



# Cyfranwyr Aseiad Perfformiad Performance Assessment Contributors

- *Y Cyngor – Adroddiad Perfformiad 2014-15.*
- *Swyddfa Archwilio Cymru – hunanasesiad y Cyngor a gwaith maes gan SAC.*
- *AGGCC – gofal cymdeithasol.*
- *Estyn.*
- Council – 2014-15 Performance Report.
- WAO – Council’s self-evaluation + fieldwork undertaken by WAO
- CSSIW - social care.
- Estyn.



## CASGLIAD CYFFREDINOL OVERALL CONCLUSION

***Mae'r Cyngor, gyda  
threfniadau rheoli a  
chraffu ariannol cadarn,  
yn parhau i wneud  
cynnydd o ran cyflawni  
gwelliannau yn y rhan  
fwyaf o'i feysydd â  
blaenoriae***

**The Council, with sound  
financial management and  
scrutiny arrangements,  
continues to make  
progress in delivering  
improvements in most of  
its priority areas**



# Canfyddiadau Aseiad Perfformiad Performance Assessment Findings

Tudalen 109

***Yn gyffredinol, gwnaeth y  
Cyngor gynnydd da o ran  
mynd i'r afael â  
thangyflawni a gofnodwyd  
yn y gorffennol, ac mae'n  
parhau i ddarparu  
gwasanaethau o ansawdd  
uchel ond erys pryderon  
ynghylch diogelu oedolion  
sy'n agored i niwed***

**Overall, the Council made good progress in addressing previously reported underperformance and it continues to deliver high-quality services but concerns remain in relation to safeguarding vulnerable adults**



# Canfyddiadau Aseiad Perfformiad

## Performance Assessment Findings

WALES AUDIT OFFICE  
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- Gwerthusiad Estyn o berfformiad ysgolion
- Gwerthusiad Comisiynydd y Gymraeg o berfformiad Sir Ddinbych
- Yn gyffredinol, mae gwasanaethau cymdeithasol y Cyngor yn perfformio'n dda ond mae diogelu oedolion sy'n agored i niwed ac ansawdd llawer o asiantaethau gofal cartref yn parhau i beri pryder
- Mae'r Cyngor yn parhau i lunio gwerthusiadau cytbwys a hyddysg o'i berfformiad ac yn cydymffurfio â Mesur Llywodraeth Leol 2009
- Estyn's evaluation of school performance
- Welsh Language Commissioner's evaluation of Denbighshire's performance
- Overall, the Council's social services perform well but safeguarding vulnerable adults and the quality of many domiciliary care agencies continues to be a concern
- The Council continues to produce well informed balanced evaluations of its performance and complies with the Local Government Measure 2009

• Tudalen 101



# Canfyddiadau Aseiad Perfformiad

## Performance Assessment Findings

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- Tudalen 102
- Mae dangosyddion cenedlaethol a safonau perfformio'r Cyngor ei hun yn parhau i roi darlun cywir o berfformiad  
Gwnaed cynnydd da wrth fynd i'r afael â'r tangyflawni blaenorol a gofnodwyd wrth ddarparu tai fforddiadwy a datblygu strategaeth tai Cyngor newydd
  - Mae'r Cyngor wedi mabwysiadu modelau amgen o ddarparu gwasanaethau ac ond newydd ddechrau datblygu fframwaith strategol priodol a trefniadau monitro a chraffu ar berfformiad
  - National indicators and the Council's own performance standards continue to present an accurate picture of performance
  - Good progress has been made in addressing the previously reported underperformance in the provision of affordable housing and developing a new Council housing strategy
  - The Council has adopted alternative models of service delivery but it has only just started to develop an appropriate strategic framework and performance monitoring and scrutiny arrangements



## Defnydd o adnoddau Use of Resources

*Mae gan y Cyngor  
drefniadau rheoli ariannol  
priodol ond mae  
angen iddo atgyfnerthu ei  
ddull o gynhyrchu incwm*

**The Council has  
appropriate financial  
management  
arrangements but needs  
to strengthen its approach  
to income generation**



# Defnydd o adnoddau Use of Resources

- Tudalen 104
- Mae cynlluniau a threfniadau'r Cyngor ar gyfer cyflawni arbedion yn y dyfodol yn addas at y diben ac maent yn cael eu rheoli'n effeithiol
  - Mae gan y Cyngor reolaethau effeithiol ar waith i sicrhau bod ei brosesau a'i reolaeth ariannol yn gadarn, ond mae angen iddo atgyfnerthu ei ddull o gynhyrchu incwm
  - Mae gan y Cyngor drefniadau cadarn ar gyfer adolygu a herio perfformiad ariannol a chaiff y rhai sy'n gyfrifol am reoli perfformiad ariannol eu dwyn i gyfrif
  - The Council's future plans and arrangements to deliver savings are fit for purpose and are being effectively managed
  - The Council has effective controls in place to ensure its financial processes and management are robust, but needs to strengthen its approach to income generation
  - The Council has robust arrangements for reviewing and challenging financial performance and those responsible for managing financial performance are held to account





## Llywodraethu Governance

Mae trefniadau craffu'r  
Cyngor yn ategu proses  
gwneud penderfyniadau  
gadarn ac mae prosesau  
corfforaethol digonol  
i ganddo i ymateb i  
adroddiadau ac  
argymhellion gan  
reoleiddwyr allanol

The Council's scrutiny  
arrangements support  
sound decision making and  
it has adequate corporate  
processes for responding to  
reports and  
recommendations from  
external regulators



## Llywodraethu Governance

- Tudalen 106
- Mae trefniadau craffu'r Cyngor yn ategu proses gwneud penderfyniadau gadarn, ond mae presenoldeb aelodau mewn cyfarfodydd craffu wedi lleihau'n sylweddol
- Mae gan y Cyngor brosesau corfforaethol digonol ar gyfer ymateb i adroddiadau ac argymhellion gan reoleiddwyr allanol
- The Council's scrutiny arrangements support sound decision making, but there is a significant decline in member attendance at scrutiny meetings
- The Council has adequate corporate processes for responding to reports and recommendations from external regulators



## CASGLIAD CYFFREDINOL OVERALL CONCLUSION

***Mae'r Cyngor, gyda  
threfniadau rheoli a  
chraffu ariannol cadarn,  
yn parhau i wneud  
cynnydd o ran cyflawni  
gwelliannau yn y rhan  
fwyaf o'i feysydd â  
blaenoriae***

**The Council, with sound  
financial management and  
scrutiny arrangements,  
continues to make  
progress in delivering  
improvements in most of  
its priority areas**

Mae tudalen hwn yn fwiadol wag

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

**Dyddiad y Cyfarfod:** 27 Ebrill 2016

**Aelod / Swyddog Arweiniol:** Y Cynghorydd Julian Thompson-Hill / Richard Weigh, Prif Swyddog Cyllid

**Awdur yr Adroddiad:** Steve Gadd, Prif Gyfrifydd

**Teitl:** Ardystio Grantiau a Ffurflenni 2014-15 Cyngor Sir Ddinbych

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## 1. Am beth mae'r adroddiad yn sôn?

Mae adroddiad o'r enw 'Ardystio Grantiau a Ffurflenni 2014 – 15 Cyngor Sir Ddinbych' wedi cael ei baratoi gan Swyddfa Archwilio Cymru ac mae'n amgaeedig. Mae'r adroddiad yn nodi crynodeb o'r canlyniadau allweddol o waith ardystio Swyddfa Archwilio Cymru ar grantiau a ffurflenni'r Cyngor yn 2014/15.

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

Mae Swyddfa Archwilio Cymru wedi gofyn bod yr adroddiad mewnol hwn yn cael ei gyflwyno gerbron y pwyllgor hwn yn flynyddol. Darperir yr adroddiad er gwybodaeth.

## 3. Beth yw'r Argymhellion?

Bod y Pwyllgor yn ystyried cynnwys adroddiad Swyddfa Archwilio Cymru. Bydd cynrychiolwyr Swyddfa Archwilio Cymru yn bresennol yn y cyfarfod i ateb cwestiynau mewn perthynas â'r adroddiad.

## 4. Manylion yr Adroddiad

Mae adroddiad Swyddfa Archwilio Cymru yn nodi crynodeb o'r canlyniadau allweddol o waith ardystio Swyddfa Archwilio Cymru ar grantiau a ffurflenni'r Cyngor 2014/15, ac at ddefnydd mewnol Cyngor Sir Ddinbych. Mae'r adroddiad yn crynhoi'r canfyddiadau allweddol a'r argymhellion sy'n deillio o'r gwaith hwn.

Mae'r adroddiad yn canfod bod gan y Cyngor drefniadau digonol ar waith ar gyfer cynhyrchu a chyflwyno ceisiadau grant 2014/15.

Mae'r prif addasiad a nodwyd yn ymwneud â Chymhorthdal y Cyfrif Refeniw Tai. Nodwyd y diwygiad o £78,791 gan Lywodraeth Cymru, ar ôl i'r hawliad gael ei gadarnhau i ddechrau gan Swyddfa Archwilio Cymru. Fel y nodwyd yn yr adroddiad, roedd y ffigur hwn yn ymwneud â'r hawliad yn 2013/14 ac felly, roedd yn fater amseru rhwng blynyddoedd ariannol ac ni arweiniodd at golled o gymhorthdal i'r Cyngor.

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

Mae Cyllid Grant yn hanfodol wrth ariannu'r gwariant mewn meysydd megis addysg ac ysgolion, priffyrdd a'r amgylchedd ac adfywio. Mae adroddiad Swyddfa Archwilio Cymru yn helpu i roi sicrwydd bod trefniadau digonol yn eu lle o fewn y Cyngor i weinyddu'r broses grant.

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

Mae'r ffioedd ar gyfer gwaith a wnaed gan Swyddfa Archwilio Cymru mewn perthynas ag ardystio grantiau a ffurflenni ar gyfer 2014-15 yn cael eu cynnwys yn yr adroddiad.

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

Nid yw'n berthnasol i argymhellion yr adroddiad hwn.

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

Mae cynnwys bras yr adroddiad wedi cael ei drafod gyda'r Prif Swyddog Cyllid ac uwch aelodau o'r Adran Gyllid.

**9. Datganiad y Prif Swyddog Cyllid**

Mae Adroddiad Swyddfa Archwilio Cymru ar grantiau a ffurflenni'r Cyngor at ddefnydd mewnol y Cyngor er mwyn helpu iddo ganolbwyntio ar unrhyw feysydd o risg neu wendid. Mae'n braf nodi bod yr adroddiad yn dod i'r casgliad bod gan y Cyngor drefniadau digonol ar waith. Mae argymhellion a sylwadau yn yr adroddiad wedi cael eu hadolygu a'u gweithredu arnynt lle bo hynny'n bosibl. Mae'r ffioedd yn ymrwymiad cyllideb presennol i'r awdurdod.

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

Dylai'r broses archwilio amlygu unrhyw risgiau sylweddol ac ymateb y rheolwyr i fynd i'r afael â'r risg neu effaith, neu eu lleihau.

**11. Pŵer i wneud y Penderfyniad**

Mae Adran 151 o Ddeddf Llywodraeth Leol 1972 yn gofyn i'r Cyngor sefydlu trefniadau rheoli ariannol priodol. O dan Baragraff 20 o Atodlen 8 Deddf Llywodraeth Cymru 2006, bydd yr Archwilydd Cyffredinol, os yw'n ofynnol gan lywodraeth leol neu gorff arall sy'n derbyn grant, yn gwneud trefniadau ar gyfer ardystio hawliadau a ffurflenni.



Mae tudalen hwn yn fwriadol wag





# Ardystio Grantiau a Ffurflenni 2014-15

## Cyngor Sir Ddinbych

**Blwyddyn archwilio:** 2014-15

**Cyhoeddwyd:** Chwefror 2016

**Cyfeirnod y ddogfen:** 158A2016

# Statws yr adroddiad

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Paratowyd y ddogfen hon at ddefnydd mewnol Cyngor Sir Ddinbych fel rhan o'r gwaith a wnaed yn unol â swyddogaethau statudol, y Cod Ymarfer Archwilio a'r Datganiad o Gyfrifoldebau a gyhoeddwyd gan Archwilydd Cyffredinol Cymru.

Nid yw'r Archwilydd Cyffredinol, staff Swyddfa Archwilio Cymru a, lle y bo'n gymwys, yr archwilydd penodedig yn atebol i unrhyw aelod, cyfarwyddwr, swyddog, na chyflogai arall yn unigol, nac i unrhyw drydydd parti.

Os ceir cais am wybodaeth y gall y ddogfen hon fod yn berthnasol iddi, tynnir sylw at y Cod Ymarfer a gyhoeddwyd o dan adran 45 o Ddeddf Rhyddid Gwybodaeth 2000. Mae Cod adran 45 yn nodi'r arfer a ddisgwyllir gan awdurdodau cyhoeddus wrth ymdrin â cheisiadau, yn cynnwys ymgynghori â thrydydd parti on perthnasol. Mewn perthynas â'r ddogfen hon, mae Archwilydd Cyffredinol Cymru (a, lle y bo'n gymwys, ei archwilydd penodedig) yn drydydd parti perthnasol. Dylid anfon unrhyw ymholiadau ynglŷn â datgelu neu aildefnyddio'r ddogfen hon i Swyddfa Archwilio Cymru yn [swyddog.gwybodaeth@archwilio.cymru](mailto:swyddog.gwybodaeth@archwilio.cymru)

Roedd y tîm a gyflawnodd y gwaith yn cynnwys Derwyn Owen, Anthony Veale, Gareth Evans ac aelodau eraill o dîm Swyddfa Archwilio Cymru.

# Cynnwys

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Crynodeb	4
Penawdau	5
Crynodeb o ganlyniadau gwaith ardystio	7
Argymhellion	11

# Crynodeb

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1. O dan baragraff 20 o Atodlen 8 i Ddeddf Llywodraeth Cymru 2006 mae'n ofynnol i'r Archwilydd Cyffredinol, os yw'n ofynnol gan lywodraeth leol neu gorff arall sy'n cael grant, wneud trefniadau ar gyfer ardystio hawliadau a ffurflenni (y cyfeirir atynt fel hawliadau grant, ar ôl hyn). Cynhaliwyd ein gwaith gyda'r nod o ardystio hawliadau unigol ac i ateb y cwestiwn:  
**'A oes gan Gyngor Sir Ddinbych (y Cyngor) drefniadau digonol yn eu lle i sicrhau bod hawliadau grant yn cael eu paratoi sydd wedi'u cydlynu, yn gywir, yn amserol ac wedi'u dogfennu'n briodol?'**
2. Rydym wedi cwblhau'r archwiliad ac rydym yn dod i'r casgliad bod gan y Cyngor drefniadau digonol yn eu lle ar gyfer paratoi a chyflwyno ei hawliadau grant 2014-15. Rydym wedi gwneud dau argymhelliad ac rydym yn parhau i weithio gyda'r Cyngor i wneud gwelliannau pellach yn barod ar gyfer archwiliad ardystio hawliadau grant 2015-16.
3. Ar gyfer 2014-15 ardystiwyd 14 o hawliadau grant gyda chyfanswm gwerth £81 miliwn; mae hyn yn cymharu ag 19 o hawliadau grant gwerth £90 miliwn ar gyfer 2013-14.
4. Ar y cyfan, canlyniad ein harchwiliadau ardystio grant oedd lleihad net mewn hawliad grant o £84,537 fel y nodir isod.
5. Gwnaeth canlyniadau ein gwaith hefyd dynnu sylw at y canlynol:
  - roedd tri o'r 14 o hawliadau grant (21 y cant) wedi'u hamodi, sy'n cymharu â thri hawliad (16 y cant) a oedd wedi'u hamodi yn 2013-14;
  - roedd tri o'r 14 o hawliadau grant (21 y cant) wedi'u diwygio, sy'n cymharu â chwe hawliad (31 y cant) yn 2013-14.
6. Dylai'r cymariaethau o flwyddyn i flwyddyn ym mhwynt 5 uchod gael eu darllen yng nghyd-destun y ffaith bod Llywodraeth Cymru wedi diwygio'r meini prawf amodi ar gyfer 2014/15, ac nid oes angen i ddiwygiadau ariannol gwerth llai na chyfanswm o £10,000 fesul grant gael eu hamodi bellach.
7. Rydym yn cydnabod cymorth a chydweithredu'r Cyngor yn ystod yr archwiliad.

# Penawdau

## Cyflwyniad a chefnidir

**Mae'r adroddiad hwn yn crynhoi canlyniadau gwaith ar ardystio hawliadau a ffurflenni'r Cyngor ar gyfer 2014-15.**

- Fel archwilywyr penodedig y Cyngor, gofynnir inni ar ran yr Archwilydd Cyffredinol, i ardystio hawliadau grant a wnaed gan y Cyngor.
- Ar gyfer 2014-15, ardystiwyd 14 o grantiau gwerth cyfanswm o £81 miliwn, o gymharu ag 19 o hawliadau grant ar gyfer 2013-14 gwerth cyfanswm o £90 miliwn.
- Rydym wedi paratoi'r adroddiad hwn er mwyn inni allu rhoi adborth ar y cyd i'r swyddogion hynny sydd â chyfrifoldeb am reoli grantiau er mwyn inni allu cydweithio i nodi gwelliannau pellach y gellir eu gwneud i wella'r broses.

## Derbyn hawliadau'n amserol

**Mae ein dadansoddiad yn dangos bod 12 o'r 14 o hawliadau am grant a gafwyd yn ystod y flwyddyn wedi'u cael erbyn y terfyn amser archwilio (14%). Nid oedd cyflwyno dau hawliad yn hwyr wedi effeithio ar ein gwaith archwilio.**

## Canlyniadau ardystio

**O'r 14 o hawliadau a archwiliwyd, roedd tri wedi'u hamodi (21%), sy'n cymharu â thri hawliad (16%) wedi'u hamodi yn ystod 2013-14.**

- Mae gwybodaeth fanwl am y materion amodi penodol wedi'u nodi ar dudalennau 8 a 9, ac yn y llythyrau amodi grant unigol a anfonwyd at weinyddwr grantiau Cyngor Sir Ddinbych a'r adran dalu.

## Addasiadau archwilio

**Roedd addasiadau'n angenrheidiol i dri o grantiau'r Cyngor:**

- Roedd un addasiad sylweddol i'r hawliad Cymhorthdal Cyfrif Refeniw Tai gwerth £78,791.
- Mae'r addasiad net o'r ddau grant arall a ddiwygiwyd yn lleihad net o £5,746.44 mewn hawliad grant i'r Cyngor.

## Trefniadau'r Cyngor

**Mae lle i wella'r trefniadau sydd yn eu lle ar gyfer paratoi a chyflwyno hawliadau grant.**

Rydym wedi darparu'r canlynol i'r Cyngor:

- templed rhestr wirio grantiau a fydd, os caiff ei gwblhau gyda phapurau gwaith priodol ar bwynt coladu'r ffurflenni grant, yn sicrhau cysondeb ac yn cryfhau ymhellach drefniadau'r Cyngor mewn perthynas â grantiau;
- dau argymhelliad a nodir ar dudalen 11 yr adroddiad hwn.

**Ffioedd****Ein ffi gyffredinol ar gyfer ardystio grantiau a ffurflenni ar gyfer 2014-15 yw £71,542 (2013-14) - £89,658).**

Ein ffi gyffredinol ar gyfer archwilio ac ardystio holl grantiau a ffurflenni'r Cyngor ar gyfer 2014-15 yw £71,542.

Yn ein Cynllun Archwilio a gyflwynwyd i'r Pwyllgor Llywodraethu Corfforaethol ym mis Mawrth 2015, amcangyfrifwyd ar gyfer 2014-15, y byddem yn archwilio rhwng 15 ac 20 o hawliadau grant gyda ffi amcangyfrifedig o rhwng £75,000 a £80,000. Byddwn yn darparu amcangyfrif pellach i'r Pwyllgor Llywodraethu Corfforaethol ar gyfer ein gwaith grantiau 2015-16 yng ngwanwyn 2016.

# Crynodeb o ganlyniadau gwaith ardystio

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8. Ar y dudalen nesaf rhoddir crynodeb o'r canlyniadau allweddol o'n gwaith ardystio ar grantiau a ffurflenni'r Cyngor ar gyfer 2014-15, gan ddangos lle y gwnaed naill ai ddiwygiadau archwilio o ganlyniad i'n gwaith neu lle roedd yn rhaid inni amodi ein tystysgrif archwilio.
9. Mae amodi yn golygu bod materion wedi'u nodi yn ymwneud â chydymffurfiaeth y Cyngor â gofynion cynllun nad oedd modd ei datrys drwy addasiad. Yn yr amgylchiadau hyn, mae'n debygol y bydd y corff talu grant perthnasol yn ei gwneud yn ofynnol cael rhagor o wybodaeth gan y Cyngor i fodloni ei hun bod y symiau llawn o grant a hawliwyd yn briodol.

## Gwybodaeth allweddol ar gyfer 2014-15

### Yn gyffredinol, gwnaethom ardystio 14 o grantiau a ffurflenni:

Roedd **deg** yn ddiamod heb ddiwygiad.

Roedd **dau** yn ddiamod ond roedd angen rhywfaint o ddiwygio ar y ffigurau terfynol.

Roedd **dau** lle roedd angen amodi ein tystysgrif archwilio.

Roedd **un** wedi'i amodi ac roedd angen rhywfaint o ddiwygio ar y ffigurau terfynol.

Cyf – Para 8	Grantiau a ffurflenni	Gwerth yr hawliad (£000)	Hawliad yn ddyledus erbyn	Dyddiad y'i cafwyd gan SAC	Cafwyd ar amser	Tystysgrif wedi'i hamodi	Tystysgrif wedi'i diwygio	Addasiad sylweddol (>£10,000)	Mân addasiad (<£10,000)
1 BEN01	Budd-dal Tai a Threth Cyngor	£34,243	30/04/15	27/04/15	Do	Oedd	Nac oedd	Dd/B	Dd/B
2 EDU18	Ysgolion yr 21ain ganrif 2014-15	£3,848	30/09/15	29/09/15	Do	Nac oedd	Nac oedd	Dd/B	Dd/B
3 EDU18	Grant Gwella Adeiladau Ysgolion Trosiannol	£548	30/09/15	29/09/15	Do	Nac oedd	Nac oedd	Dd/B	Dd/B
4 EYC01	Refeniw Dechrau'n Deg	£1,921	30/09/15	30/09/15	Do	Oedd	Oedd	Dd/B	-£5,746
5 EYC02	Cyfalaf Dechrau'n Deg	£107	30/09/15	29/09/15	Do	Nac oedd	Nac oedd	Dd/B	Dd/B
6 EYC14	Refeniw Teuluoedd yn Gyntaf	£1,302	30/09/15	30/09/15	Do	Nac oedd	Nac oedd	Dd/B	Dd/B
7 HOU03	Cymhorthdal Cyfrif Refeniw Tai	£3,119	30/09/15	06/10/15	Naddo	Nac oedd	Oedd	-78,791	Dd/B
8 LA01	Ffurflen Ardrethi Annomestig Cenedlaethol	£20,091	29/05/15	05/06/15	Naddo	Nac oedd	Nac oedd	Dd/B	Dd/B
9 LA12	Rheoli Gwastraff Cynaliadwy	£2,202	30/09/15	16/09/15	Do	Nac oedd	Nac oedd	Dd/B	Dd/B



Cyf – Para 8	Grantiau a ffurflenni	Gwerth yr hawliad (£000)	Hawliad yn ddyledus erbyn	Dyddiad y'i cafwyd gan SAC	Cafwyd ar amser	Tystysgrif wedi'i hamodi	Tystysgrif wedi'i diwygio	Addasiad (>£10,000)	Addasiad (>£10,000)
10 LD02	Draenio Tir ac Amddiffynfeydd Rhag Llifogydd	£3,200	30/09/15	08/09/15	Do	Nac oedd	Nac oedd	Dd/B	Dd/B
11 PEN05	Ffurflen Pensiynau Athrawon	£8,177	28/05/15	28/05/15	Do	Nac oedd	Nac oedd	Dd/B	Dd/B
12 TRA15	Cronfa Cludiant Lleol	£264	30/09/15	22/09/15	Do	Oedd	Nac oedd	Dd/B	Dd/B
13 SOC 07	Rhaglen Datblygu'r Gweithlu Gofal Cymdeithasol	£143	30/09/15	24/09/15	Do	Nac oedd	Nac oedd	Dd/B	Dd/B
14 TRA23	Teithio Consesiynau Am Ddim	£1,833	30/09/15	30/09/15	Do	Nac oedd	Nac oedd	Dd/B	Dd/B
	<b>Cyfanswm</b>							<b>-£78,791</b>	<b>-£5,746</b>

10. Mae'r tabl hwn yn crynhoi'r materion allweddol sy'n sail i bob un o'r addasiadau neu'r amodi a nodwyd ar dudalennau 8 i 9.

Cyf	Arsylwadau cryno	Diwygiad
1	<p><b>BEN01 Cymhorthdal Budd-dal Tai a Treth Cyngor</b></p> <p>Cafodd yr hawliad Budd-dal Tai a Threth Cyngor ei amodi o ran y broses ar gyfer cysoni'r budd-dal a dalwyd er budd a roddwyd a gwall mewnbynnu yn ymwneud â'r ffigur rhent a effeithiodd ar un hawliad. Nid oedd diwygiad yn ofynnol.</p>	£0
2	<p><b>EYC01 Refeniw Dechrau'n Deg</b></p> <p>Roedd yr hawliad Refeniw Dechrau'n Deg wedi'i amodi a chafodd ei ddiwygio am y rhesymau a amlinellir isod:</p> <ul style="list-style-type: none"> <li>• Cafwyd bod y sail ddosrannu a ddefnyddiwyd i ddyrannu grant i gyllido dosbarthiadau Dechrau Da Cyffredinol yn seiliedig ar gyfrifiadau hanesyddol ac roedd yn ddi-sail.</li> <li>• Nid oeddem yn gallu cadarnhau'r sail ddosrannu a ddefnyddiwyd i godi amser rheoli ar y grant.</li> <li>• Er y gwnaed cais amdano a'i adlewyrchu mewn dyraniadau dilynol, ni chafodd y Cyngor y gymeradwyaeth ofynnol gan Lywodraeth Cymru i symud dros 10% o gyllid grant o fewn categorïau cyllideb.</li> </ul>	-£5,746
3	<p><b>TRA15 Cronfa Cludiant Lleol</b></p> <p>Roedd y Gronfa Cludiant Lleol wedi'i hamodi am inni nodi bod y Cyngor, yn dilyn proses arfarnu tendr, wedi dyfarnu contract ar gyfer gwaith gwerth o £511,000 i'r tendr isaf. Nid oedd y broses wedyn ar gyfer dyfarnu'r contract yn cydymffurfio â Rheolau Gweithdrefn Contract y Cyngor am nad oedd wedi'i hawdurdodi'n briodol gan swyddog neu aelod â'r awdurdod priodol. At hynny, nid oedd y Cyngor yn gallu dod o hyd i gopi o'r contract.</p>	£0
4	<p><b>HOU03 Cymhorthdal Cyfrif Refeniw Tai</b></p> <p>Cafodd yr hawliad cymhorthdal Cyfrif Refeniw Tai ei ddiwygio ar gais Llywodraeth Cymru i ddileu ffigur a oedd yn ymwneud â hawliad cymhorthdal 2013/14. Roedd hwn yn fater amseru rhwng blynyddoedd ariannol ac ni arweiniodd at golli cymhorthdal i'r Cyngor.</p>	-£78,791
	<b>Cyfanswm effaith y diwygiadau i'r Cyngor</b>	<b>-£84,537</b>

## 12. Nodir yr argymhellion sy'n codi o'n gwaith isod.

A1 Yn benodol mewn perthynas â grant Refeniw Dechrau'n Deg:

- Dylai unrhyw sail ddosrannu a gymhwysir i ddyrannu cyllid grant gael ei adolygu'n flynyddol i sicrhau bod symiau a godir ar grant yn adlewyrchiad cywir o'r amser/gost yr eir iddynt a bod y sail ar gyfer dosrannu yn berthnasol.
- Rhaid cael cymeradwyaeth gan Lywodraeth Cymru yn unol ag amodau'r grant **cyn** gweithredu unrhyw drosglwyddiad cyllid grant sy'n uwch na 10% o'r categori cyllideb.

A2 Rhaid i'r Cyngor sicrhau bod yr holl staff sy'n gyfrifol am agor ac arfarnu tendrau ac yna'n dyfarnu contractau, yn cydymffurfio'n llawn â Rheolau Gweithdrefnau Contractau'r Cyngor.

Wales Audit Office  
24 Cathedral Road  
Cardiff CF11 9LJ

Tel: 029 2032 0500

Fax: 029 2032 0600

Textphone: 029 2032 0660

E-mail: [info@audit.wales](mailto:info@audit.wales)

Website: [www.audit.wales](http://www.audit.wales)

Swyddfa Archwilio Cymru  
24 Heol y Gadeirlan  
Caerdydd CF11 9LJ

Ffôn: 029 2032 0500

Ffacs: 029 2032 0600

Ffôn Testun: 029 2032 0660

E-bost: [post@archwilio.cymru](mailto:post@archwilio.cymru)

Gwefan: [www.archwilio.cymru](http://www.archwilio.cymru)

<b>Adroddiad i'r:</b>	<b>Pwyllgor Llywodraethu Corfforaethol</b>
<b>Dyddiad y Cyfarfod:</b>	<b>27 Ebrill 2016</b>
<b>Aelod / Swyddog Arweiniol:</b>	<b>Y Cyngorydd Julian Thompson-Hill / Richard Weigh, Prif Swyddog Cyllid</b>
<b>Awdur yr Adroddiad:</b>	<b>Steve Gadd, Prif Gyfrifydd</b>
<b>Teitl:</b>	<b>Proses y Gyllideb 2017/18</b>

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

Mae'r adroddiad yn rhoi diweddariad am y broses o ddarparu cyllideb referniw ar gyfer 2017/18.

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

Mae gan y Pwyllgor Llywodraethu Corfforaethol rôl i gadw trosolwg o broses y gyllideb. Safbwynt y Pwyllgor yn y cyfarfod diwethaf oedd y dylid cael mwy o ymgysylltiad gan yr aelodau yn gynnar yn y broses. Cytunwyd y dylid gwneud y newidiadau canlynol i amserlen y gyllideb:

- Cyflwyno papur ar broses y gyllideb arfaethedig i Arweinwyr Grwpiau ar 4 Ebrill.
- Ychwanegu diweddariad pellach i raglen Briffio'r Cyngor ar gyfer 6 Mehefin 2016.

Mae proses y gyllideb arfaethedig ynghlwm fel Atodiad 1.

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

Ystyried proses y gyllideb a gwneud sylwadau fel y bo'n briodol.

## 4. **Manylion yr Adroddiad**

Fel y cytunwyd yn y Cyfarfod Llywodraethu Corfforaethol diwethaf cyflwynwyd proses y gyllideb arfaethedig yng nghyfarfod Arweinwyr Grwpiau a gynhaliwyd ar 4 Ebrill. Roedd yr adborth cychwynnol yn gadarnhaol fodd bynnag rhoddwyd cyfle i Arweinwyr Grwpiau drafod y cynigion ymhellach gyda'u cydweithwyr a darparu sylwadau adborth erbyn 15 Ebrill. Gellir darparu diweddariad ar lafar yn y cyfarfod ynglŷn ag unrhyw faterion sy'n codi o unrhyw adborth a dderbyniwyd.

Mae proses y gyllideb ddiwygiedig ynghlwm fel Atodiad 1 ac mae'r tybiaethau a'r egwyddorion allweddol wedi'u nodi isod.

**Tybiaethau Allweddol yn Llywio Datblygiad y Cynllun Ariannol Tymor Canolig**

- **Cyllid y Llywodraeth** - y rhagdybiaeth yw y bydd Grant Cynnal Refeniw yn parhau i leihau wrth i LIC barhau i ddiogelu'r GIG a meysydd eraill ar draul llywodraeth leol. Yr amcangyfrif presennol yw y bydd gostyngiad o 1.5% mewn cyllid (gostyngiad o 1.2% yn 16/17) yn seiliedig ar Ddatganiad yr Hydref a gwaith a wnaed gan Gymdeithas Llywodraeth Leol Cymru.
- **Ariannu lleol** - Fel yn y Cynllun Ariannol Tymor Canolig a gyhoeddwyd yn flaenorol tybir y bydd cynnydd o 2.75% mewn Treth y Cyngor. Mae cysoni gyda chynghorau eraill yn debyg o fod yn fater yn fwy cyffredin yn y dyfodol.
- **Gwarchod Ysgolion** - Os yw addewid y gweinidogion yn parhau ar ei ffurf bresennol y tu hwnt yr etholiad a bod y cyngor yn cydymffurfio, lefel y cynnydd i gyllidebau ysgolion fydd +1.93% yn 17/18, sy'n fwy na dwbl y rhagdybiaeth gynllunio wreiddiol ar gyfer 16/17 (a oedd yn seiliedig ar +0.9%). Yn ogystal, mae demograffeg disgyblion yn codi yn 17/18 (ar ôl tair blynedd o ostyngiad) gyda chost bosibl o £656,000. Ers cyflwyno'r amddiffyniad ysgolion, mae ysgolion wedi ariannu pob cynnydd mewn cyflogau a chostau cysylltiedig.
- **Tâl a Phensiynau** – Y tybiaethau ar gyfer dyfarniad cyflog yw cyfartaledd o +1%. Mae costau ar gyfer cynyddu pensiwn yn cael eu cynnwys, ond mae'r trafodaethau gyda'r actiwariaid yn parhau i brofi'r posibilrwydd o rewi lefelau am y tair blynedd nesaf.
- **Pwysau Corfforaethol Eraill** - Yn cynnwys Ardoll Tân, costau aelodau, premiymau yswiriant, CTRS, costau ynni, ac ati
- **Pwysau Penodol o fewn Gofal Cymdeithasol** - Mae'n debygol y bydd angen cynnwys cydnabyddiaeth o bwysau cynyddol yn y maes hwn, er y tybir y bydd y gwasanaeth yn ariannu rhywfaint o hyn drwy ail-fuddsoddi arbedion effeithlonrwydd.
- **Defnyddio Balansau** - Gan nad oes wedi bod angen balansau i'r graddau a ganiateir ar ei gyfer yng nghyllideb 15/16, gellid darparu cyllid ychwanegol yn 17/18 heb leihau balansau y tu hwnt i'r lefelau a ragwelwyd pan osodwyd cyllideb 15/16.

### **Egwyddorion Proses y Gyllideb 2017/18**

- **Cyllideb 2017/18** - Bydd y broses yn canolbwyntio ar gyflawni cyllideb gytbwys ar gyfer 2017/18 ac ni fydd gofyn i'r Aelodau gymeradwyo arbedion ar gyfer y blynyddoedd i ddod, er y bydd effaith barhaus i rai arbedion.
- **Casglu data** – Mae Cyllid wedi datblygu cyfres o ffurflenni y bydd disgwyl i wasanaethau eu llenwi i lywio proses y gyllideb a hwyluso penderfyniadau. Yn benodol, bydd y ffurflenni yn ein caniatáu i nodi adnabod arbedion effeithlonrwydd, opsiynau i leihau lefelau gwasanaeth a chyllidebau, pwysau gwasanaeth penodol, y defnydd o gronfeydd wrth gefn y gwasanaeth a'r polisïau ffioedd a thaliadau yn y gwasanaeth.
- **Targed Effeithlonrwydd** – mae'n debyg y bydd gwasanaeth yn derbyn targed arbedion effeithlonrwydd cymedrol (e.e. 1%) y bydd disgwyl i bob

gwasanaeth eu cyflawni drwy arbedion effeithlonrwydd gwirioneddol (h.y. nad ydynt yn ymwneud â gostyngiad yn lefel gwasanaeth neu gynnydd mewn taliadau).

**Targed Arbedion** – Mae'r targed effeithlonrwydd yn annhebygol o fod yn ddigon i gydbwysu'r gyllideb felly bydd targed arbedion ychwanegol hefyd yn cael ei gyfrifo i'r Cyngor a bydd cynigion cyllideb yn cael eu datblygu i gyrraedd y targed. . Mae'r targed yn debygol o fod yn fwy na'r bwlch yn y gyllideb a ragwelir er mwyn caniatáu i Aelodau wneud dewisiadau i gydbwysu'r gyllideb. Cydnabyddir y gallai nifer o'r awgrymiadau hyn gynnwys prosiectau gweddnewid a allai'n rhydd olygu gostyngiad mewn lefelau gwasanaeth neu ddulliau o gyflwyno gwasanaeth. Bydd rhai o'r cynigion yn rhai a gafodd eu dwyn ymlaen o dan Rhyddid a Hyblygrwydd ond nad oedd eu hangen i gydbwysu'r gyllideb yn 2016/17.

- **Cynigion Cyllideb** - Am bob cynnig a wnaed bydd taflen a fydd yn cynnwys mwy o fanylion am y cynnig, yr effaith bosibl (cydraddoldeb, swyddi, ansawdd gwasanaeth, lleoliad, iaith ac ati), risgiau a gofynion rheoli prosiect (h.y. a yw'r cynnig yn debygol o ddod yn brosiect a sut y byddai'n cael ei reoli). Bydd hefyd angen i gael rhywfaint o asesiad o effaith mewn perthynas â Deddf Lles Cenedlaethau'r Dyfodol er bod angen datblygu'r union ofynion o ran yr angen hwn ymhellach.
- **Amserlen y Gyllideb** – Mae'r amserlen yn crynhoi'r pedwar cam canlynol o broses y gyllideb:
  - 1) Diffinio a datblygu'r broses
  - 2) Nodi cynigion cychwynnol
  - 3) Ymgynghori ar a chwblhau cynigion
  - 4) Y camau cymeradwyo terfynol

Bydd pob cam yn caniatáu ar gyfer ymgynghori ac ymgysylltu â'r budd-ddeiliaid perthnasol.

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

Mae rheolaeth effeithiol o gyllideb y cyngor a chyflawni strategaeth y gyllideb a gytunwyd arni yn sail 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?**

Yn seiliedig ar dybiaethau presennol o ran pwysau ariannu a chost, rhagwelir y bydd bwlch o £4.4 miliwn yng nghyllideb 2017/18.

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

Mae AEC wedi'i gwblhau ar gyfer pob cynnig perthnasol.

**8. Pa ymgynghoriadau a gynhaliwyd gyda'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.

Mae Atodiad 1 yn rhoi crynodeb o broses y gyllideb arfaethedig ar gyfer 2017/18 ac yn amlygu cyfnodau ymgynghori allweddol yn ystod pedwar cam y broses sef diffinio'r broses, nodi a chwblhau cynnig hyd at y camau cymeradwyo terfynol. Bydd ymgynghoriad yn cael ei gynnal gyda'r Pwyllgor Llywodraethu Corfforaethol, Tîm Rheoli Corfforaethol, Uwch Dîm Arweinyddiaeth, Briffio Cabinet, Briffio'r Cyngor a'r Undebau Llafur. Bydd angen ymgynghori pellach ar gynigion penodol gyda budd-ddeiliaid penodol a fydd yn cael ei nodi gan y gwasanaethau yn nhempledi'r cynigion.

**9. Datganiad y Prif Swyddog Cyllid**

Nod proses y gyllideb yw sicrhau bod y cyngor yn cyflwyno cyllideb gytbwys. Mae'r ansicrwydd dros lefel y setliadau ariannol yn y blynyddoedd diwethaf wedi gwneud cynllunio ariannol o dan amgylchiadau sydd eisoes yn anodd hyd yn oed yn fwy heriol. Er bod y setliad refeniw ar gyfer 2016/17 yn well na'r hyn roedd y cyngor wedi cael ei arwain i gredu y byddai ac mae hyn yn amlwg i'w groesawu, mae'n parhau i fod diffyg arwyddion cynllunio ariannol ystyrlon ar gyfer y dyfodol. Y gobaith yw mynd i'r afael â hyn yn dilyn etholiadau mis Mai 2016 gan fod yr ansicrwydd ac amrywiadau o flwyddyn i flwyddyn sydd wedi bod yn norm ers 2013 yn peri risg sylweddol i gyflwyno cyllidebau yn y dyfodol.

Er na wyddom yr union lefelau, mae'n debygol y bydd gostyngiadau cyllid i awdurdodau lleol yng Nghymru yn parhau yn y tymor canolig ac er y bydd y cyngor bob amser yn ymdrechu i fod yn fwy effeithlon er mwyn arbed arian, efallai na fydd hyn ynddo'i hun yn ddigonol yn y dyfodol. Bydd penderfyniadau ar y gyllideb yn mynd yn galetach ac mae'n debyg y bydd angen rhagor o amser i'w cyflawni.

Bydd proses y gyllideb arfaethedig ar gyfer 2017/18 yn helpu i gyflwyno cyllideb gytbwys a bydd yn galluogi'r cyngor i ystyried rhagdybiaethau cyllid allweddol, pwysau gwasanaeth, lefelau arian parod wrth gefn a lefelau ffioedd a thaliadau yn y Cyngor.

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

Mae proses y gyllideb ynddi ei hun yn fesur ar gyfer rheoli risg, gyda'r nod o ddynodi, asesu a chytuno ar gynigion y gyllideb mewn modd wedi'i gynllunio ac amserol.

**11. Pŵer i wneud y Penderfyniad**

Mae'n ofynnol i awdurdodau lleol o dan Adran 151, Deddf Llywodraeth Leol



1972 wneud trefniadau ar gyfer gweinyddu eu materion ariannol yn briodol.

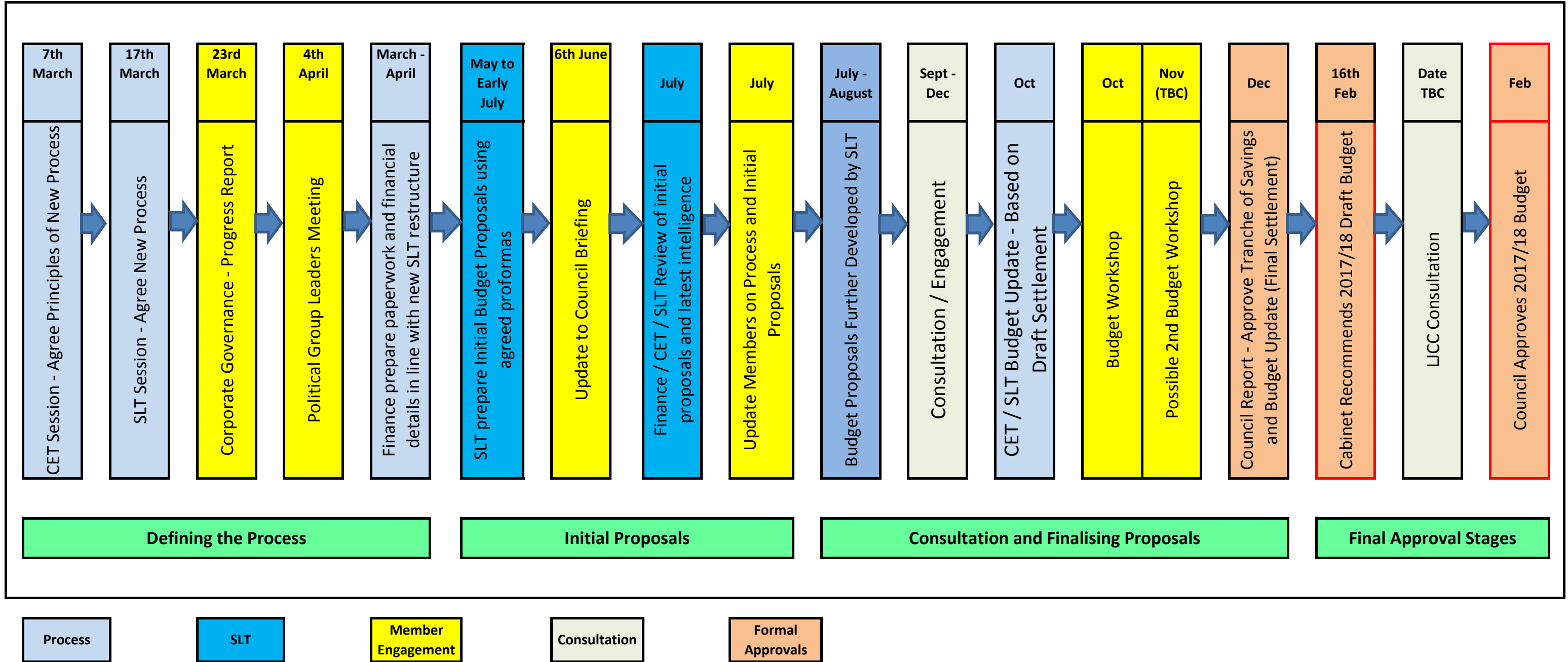
Mae tudalen hwn yn fwriadol wag

**Appendix 1**

**PROPOSED BUDGET PROCESS 2017/18**

**BUDGET OVERSIGHT - Monthly Updates to CET, Corporate Governance Committee & Cabinet Briefing**

Tudalen 131



Mae tudalen hwn yn fwiadol wag

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

**Dyddiad y Cyfarfod:** 27 Ebrill 2016

**Aelod / Swyddog Arweiniol:** Julian Thompson-Hill - Aelod Arweiniol dros Gyllid, Cynllun Corfforaethol a Pherfformiad  
Ivan Butler – Pennaeth Archwilio Mewnol

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

**Teitl:** Adroddiad Blynyddol Archwilio Mewnol 2015-16

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

Mae'r adroddiad hwn yn cyflwyno Adroddiad Blynyddol Archwilio Mewnol 2015-16 i'r Pwyllgor sy'n darparu 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 gwneud yn ofynnol iddo ystyried adroddiad blynyddol yr archwilwyr mewnol.

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

Bod y Pwyllgor yn ystyried ac yn gwneud sylwadau ynglŷn ag adroddiad a 'barn' gyffredinol y Pennaeth Archwilio Mewnol.

## 4. **Manylion yr Adroddiad**

Mae'r adroddiad Archwilio Mewnol 2015-16 wedi'i gynnwys fel Atodiad 1 ac mae'n dangos:

- bod y Pennaeth Archwilio Mewnol wedi rhoi 'sicrwydd canolig' ar ddigonolrwydd ac effeithiolrwydd cyffredinol amgylchedd rheolaeth fewnol y Cyngor, gan gynnwys ei drefniadau ar gyfer llywodraethu a rheoli risg;
- nid oes unrhyw gymwysterau ynghlwm wrth 'farn' y Pennaeth Archwilio Mewnol;
- lefel y gwaith a wnaeth yr Archwilwyr Mewnol i gyrraedd y 'farn' gyffredinol;
- sut 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 penderfyniad gyda'r adroddiad hwn.

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

Amherthnasol - nid oes angen penderfyniad gyda'r adroddiad hwn.

- 7. Beth yw prif gasgliadau'r Asesiad o Effaith ar Gydraddoldeb (AEC) a gynhaliwyd ar y penderfyniad? Dylai fod templed o'r Asesiad o Effaith ar Gydraddoldeb wedi ei lenwi a'i atodi i'r adroddiad.**  
Amherthnasol - nid oes angen penderfyniad gyda'r adroddiad hwn.
- 8. Pa ymgynghoriadau a gynhaliwyd gyda'r Pwyllgorau Archwilio ac eraill?**  
Amherthnasol - nid oes angen penderfyniad gyda'r adroddiad hwn.
- 9. Datganiad y Prif Swyddog Cyllid**  
Amherthnasol - nid oes angen penderfyniad gyda'r adroddiad hwn.
- 10. Pa risgiau sydd ac a oes unrhyw beth y gallwn ei wneud i'w lleihau?**  
Amherthnasol - nid oes angen penderfyniad gyda'r adroddiad hwn.
- 11. Pŵer i wneud y Penderfyniad**  
Amherthnasol - nid oes angen penderfyniad gyda'r adroddiad hwn.

# Internal Audit Annual Report 2015-16

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

**April 2016**

## Contents

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Introduction and background .....	3
Internal Audit opinion 2015-16.....	4
Summary of work to support the opinion .....	5
Conformance with Public Sector Internal Audit Standards .....	7
Internal Audit performance .....	8



## Introduction and 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 2015-16

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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 2015-16 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 2015-16.

## 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 29 audit opinions during the year, categorised as follow:

<b>Green</b>	High Assurance	8
<b>Yellow</b>	Medium Assurance	14
<b>Amber</b>	Low Assurance	7
<b>Red</b>	No Assurance	0

Although the majority of opinions were either 'high' or 'medium', this year saw a significant increase in 'low' assurance ratings from only one in 2014/15 to seven in 2015/16. At this stage it is too early to assess whether there is a trend emerging.

During the year, IA provided the following audit opinions:

Area of Work	Status of Project	Assurance Rating	Comments
Ruthin-based financial services - Activedata testing	Complete	<b>Medium</b>	Report included within main financial systems report 2014/15.
Ruthin-based financial services - annual assurance	Draft report	<b>Medium</b>	
Revenues services (Civica)	Complete	<b>Medium</b>	
Housing rents	Complete	<b>High</b>	
WG 6th Form Funding/PLASC - Ysgol Dinas Bran, Llangollen	Complete	<b>High</b>	
WG 6th Form Funding/PLASC - Ysgol Brynhyfryd, Ruthin	Complete	<b>High</b>	
WG 6th Form Funding/PLASC - Ysgol Glan Clwyd, St.Asaph	Complete	<b>High</b>	
WG 6th Form Funding/PLASC - Denbigh High School	Complete	<b>Medium</b>	
WG 6th Form Funding/PLASC - St. Brigid's School, Denbigh	Complete	<b>High</b>	
WG 6th Form Funding/PLASC - Prestatyn High School	Complete	<b>High</b>	

Area of Work	Status of Project	Assurance Rating	Comments
West Rhyl Coastal Defence Scheme	Complete	Low	
Governance assurance - Part 2 reports	Complete	Medium	
Cashiers / income / banking controls	Complete	Medium	Report issued relates to leisure services.
IT identity access management	Draft report	Medium	
Security of information	Complete	Low	Office walk-round. Reporting through Middle Managers
IT cost management	Complete	Medium	
School themed reviews - school funds	Draft report	Low	
Corporate safeguarding	Complete	Low	
Sickness absence	Complete	Medium	
Gas maintenance contracts	Complete	High	
Paris financials	Complete	Medium	
Street works	Complete	Medium	
Building cleaning	Complete	High	
Corporate fleet management	Complete	Low	
Development management	Complete	Medium	
Ysgol Mair, Rhyl	Complete	Low	
HR Management in schools	Complete	Medium	
School theme - IT & information management	Draft report	Low	
Rhyl One Stop Shop	Complete	Medium	

## 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 2014/15, the HIA carried out a self-assessment of the IA service against the PSIAS. Overall, the service fully complied with the majority of the Standards and elements of the Code of Ethics, and at least partially conformed to all others. The resulting action plan was fully implemented during 2015/16 to address areas of improvement identified during the self-assessment.

A full external assessment will be carried out of the IA service's compliance with PSIAS during 2016/17 and the results reported to Corporate Governance Committee.

## Internal Audit performance

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 94% of ‘Statutory Assurance’ projects during the year, with just one project, Risk Management, not completed to draft report stage. This project is in progress and will be completed early in 2016/17.

The service achieved 100% in all categories of its customer standards performance.

Statutory Assurance – target 100%	
Review of agreed Statutory Assurance areas in IA Assurance Plan for the Annual IA Report	
Actual performance 94%, with one project in progress but not completed to draft report in stage	
Customer Standards – all targets 100% (but minimum performance tolerated 90%)	
Contact customers at least 2 weeks in advance to arrange a suitable date for our visit	
Actual performance for the year was 100%.	
Send customers the agreed Project Scoping Document before we commence work	
Actual performance for the year was 100%	
Send the customer a draft report within 10 working days of the closing meeting	
Actual performance for the year was 100%	
Send the customer our final audit report within 5 working days of agreeing the draft	
Actual performance for the year was 100%	

<b>Adroddiad i'r:</b>	Pwyllgor Llywodraethu Corfforaethol
<b>Dyddiad y Cyfarfod:</b>	27 Ebrill 2016
<b>Aelod / Swyddog Arweiniol:</b>	Julian Thompson-Hill - Aelod Arweiniol dros Gyllid, Cynllun Corfforaethol a Pherfformiad Ivan Butler – Pennaeth Archwilio Mewnol
<b>Awdur yr Adroddiad:</b>	Ivan Butler – Pennaeth Archwilio Mewnol
<b>Teitl:</b>	Cynllun Sicrwydd Blynyddol Archwilio Mewnol 2016-17

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

Mae'r adroddiad hwn yn darparu'r Pwyllgor â Chynllun Sicrwydd Blynyddol Archwilio Mewnol ar gyfer 2016-17. Mae'r Cynllun yn darparu manylion y prosiectau Archwilio Mewnol arfaethedig ar gyfer y flwyddyn a fydd yn caniatáu i'r Pennaeth Archwilio Mewnol i ddarparu 'barn' ar ddigonolrwydd ac effeithiolrwydd 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 swyddog archwilio' ddatblygu cynllun archwilio mewnol yn seiliedig ar risg sy'n cymryd i ystyriaeth 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 angen iddo ystyried cynlluniau archwilio mewnol.

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

Bod y Pwyllgor yn cymeradwyo Cynllun Sicrwydd Blynyddol Archwilio Mewnol 2016-17 (Atodiad 1)

**4. Manylion yr Adroddiad**

Mae'r Cynllun yn Atodiad 1 yn darparu cefndir i'r gwasanaeth archwilio mewnol ynghyd â'r cynllun gwaith arfaethedig ar gyfer y flwyddyn yn seiliedig ar asesiad risg ac ymgynghori â gwasanaethau.

Bydd y cynllun gwaith arfaethedig yn caniatáu i'r Pennaeth Archwilio Mewnol ddarparu 'barn' yn gyffredinol yn ei adroddiad blynyddol ar gyfer 2016-17. Bydd y Pwyllgor yn derbyn adroddiadau diweddarau rheolaidd ar gynnydd darparu'r Cynllun.

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

Nid oes angen gwneud penderfyniad ynglŷn â'r adroddiad hwn. Nid oes cyfraniad uniongyrchol at y Blaenoriaethau Corfforaethol, ond bydd rhai prosiectau yn y Cynllun yn adolygu meysydd Blaenoriaeth Corfforaethol ac yn darparu sicrwydd ar eu darpariaeth.

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

Amherthnasol – nid oes penderfyniad na chostau yn gysylltiedig â'r adroddiad hwn.

- 7. Beth yw prif gasgliadau'r Asesiad o Effaith ar Gydraddoldeb (AEC) a gynhaliwyd ar y penderfyniad? Dylai fod templed o'r Asesiad o Effaith ar Gydraddoldeb wedi ei lenwi a'i atodi 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 Pennaeth Archwilio Mewnol wedi cyfarfod â thimau rheoli'r holl wasanaethau i drafod gwaith arfaethedig Archwilio Mewnol.
- 9. Datganiad y Prif Swyddog Cyllid**  
Nid oes unrhyw oblygiadau ariannol ynghlwm wrth yr adroddiad hwn.
- 10. Pa risgiau sydd 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. Byddai hyn o bosibl yn arwain at broblem llywodraethu sylweddol yn cael ei chodi yn 'natganiad llywodraethu blynyddol' y Cyngor ar ddiwedd y flwyddyn ariannol.
- 11. Pŵer i wneud y Penderfyniad**  
Amherthnasol - nid oes angen penderfyniad gyda'r adroddiad hwn.



# **Internal Audit Annual Assurance Plan 2016-17**

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

**April 2016**

## Contents

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Background to the Service .....	1
Service Structure .....	2
Internal Audit Annual Plan 2016/17.....	3
Service Standards .....	9

## 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 within 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 restructured over the last year to make the service more streamlined and efficient as part of the Council's efficiencies programme. 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.

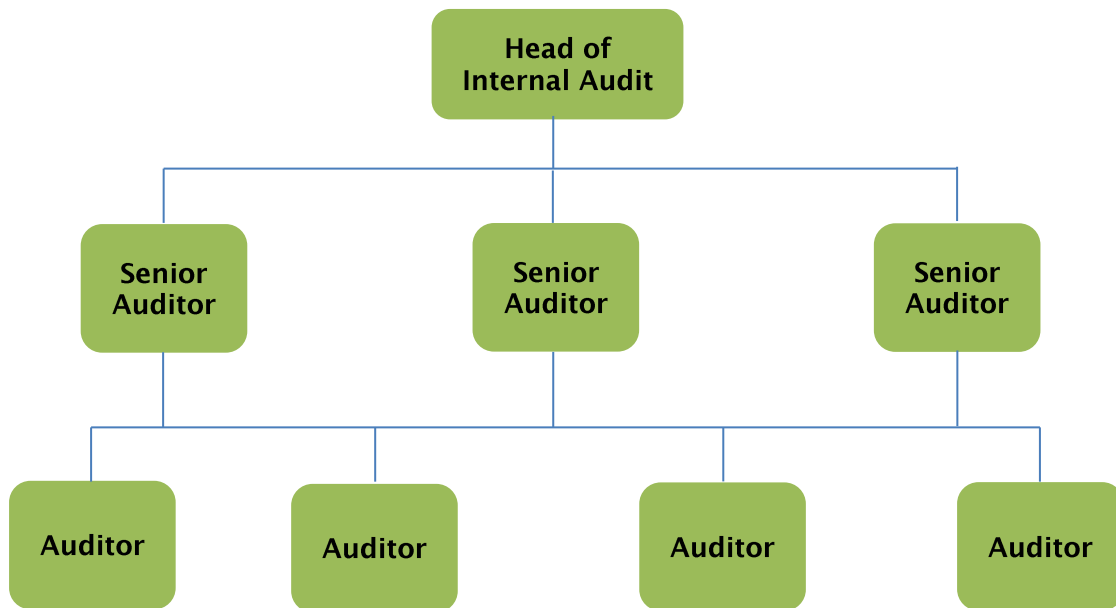
Our work provides a risk-based approach that allows the Head of Internal Audit (HIA) to form and evidence his opinion on the control environment to support the Council's annual review of its governance arrangements. Our Internal Audit Annual Assurance Plan therefore links closely to the Council's Governance 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 the Council if the internal audit 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 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 has significantly reduced costs but has improved the team's efficient and communication channels.



## Internal Audit Annual Plan 2016/17

Area of Work	Plan Days	-----Assurance-----				Comments
		S151	AGS	IA Annual	CET/SLT	
<b>Corporate Priorities Assurance</b>						
Developing the local economy	20		■	■	■	Review of performance and delivery of objectives and Economic and Community Ambition Programme
Improving performance in education & the quality of our school buildings	15		■	■	■	Review of performance and delivery of objectives and Modernising Education Programme
Improving our roads	15		■	■	■	Review of performance and delivery of improvements to highways
Vulnerable people are protected and are able to live as independently as possible	10		■	■	■	Continuing review of corporate safeguarding
Ensuring access to good quality housing	10		■	■	■	Review Housing Strategy Action Plan delivery
Modernising the Council to deliver efficiencies and improve services for our customers	20		■	■	■	Review delivery of Modernisation Programme - including review of Office Accommodation Project
<b>Corporate Risks Assurance</b>						
Corporate risk management	9	■	■	■	■	Review various high risks from the Corporate Risk Register not covered during other Internal Audit Projects
<b>Corporate Programmes and Projects Assurance</b>						
Digital Choice - Getting the Council Ready	10	■	■	■	■	Review management and delivery of project
Review of corporate use of Verto	10		■	■	■	Review efficiency and consistency of use of corporate system for performance, risk and project management
Well-being of Future Generations Act Programme	20		■	■	■	Review of the Council's overall implementation plus contingency for work required within specific workstreams

Internal Audit 150

Area of Work	Plan Days	-----Assurance-----				Comments
		S151	AGS	IA Annual	CET/SLT	
Modernising Social Services and Enhancing Well-being	10		■	■	■	Review implementation of new act in social services
Ruthin Area Review - New Area School for Ysgol Carreg Emlyn	5	■	■	■	■	Review management and delivery of project
Ruthin Area Review - Ruthin Town School Modernisation	5	■	■	■	■	Review management and delivery of project
Ruthin Review - New Area School for Llanfair DC & Pentrecelyn	5	■	■	■	■	Review management and delivery of project
Contingency for new in-year projects	10					Contingency for further reviews of management and delivery of projects
<b>Corporate Governance Assurance</b>						
Preparation for Corporate Assessment 2016	15		■	■	■	Contingency for any self-assessment work in preparation for the assessment
<b>Alternative Service Provider Assurance</b>						
Revenues services	44	■	■	■	■	Review of monitoring arrangements for Revenues and Benefits service and specific reviews of service areas as per the contract
GwE	15		■	■	■	Annual review of value for money of partnership arrangements
Citizen's Advice Bureau	10	■	■	■	■	Review of governance and monitoring arrangements of the service
<b>Financial Assurance</b>						
Financial services	70	■	■	■	■	Review of key financial services
Housing rents	20	■	■	■	■	Review of key financial areas
<b>Welsh Government Assurance</b>						
Welsh Government education grant certification	15	■		■		Contingency for annual grants audits

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Area of Work	Plan Days	-----Assurance-----				Comments
		S151	AGS	IA Annual	CET/SLT	
Welsh Government 6th Form Funding/PLASC	30			■		Annual assurance on PLASC returns for Welsh Government
<b>Corporate Anti-fraud and Corruption Assurance</b>						
Assessment of DCC's compliance with CIPFA's Code of Practice on Managing the Risk of Fraud & Corruption	15	■	■	■	■	Overview of the Council's corporate arrangements, policies, procedures etc.
Catering services	10	■	■	■	■	Continuation of review of financial reconciliation of income from school meals
National Fraud Initiative	40	■	■	■	■	Annual work on data-matching between services and with other public sector organisations
Procurement	20	■	■	■	■	Review of policies, procedures, tendering, testing contract and supply areas to identify price-fixing etc.
Insurances	10	■	■	■	■	Review of insurances processes and procedures and testing a sample of claims
Housing tenancies	20	■	■	■	■	Review of housing tenancies, including data matching to other Council systems to identify potential sub-letting
Contingency	10					General queries, management, administration, National Anti-Fraud Network notifications etc.
<b>Corporate and Service Area Projects</b>						
Policy framework	15		■	■	■	Review of the Council's overall policy framework and how it develops, implements and monitors policies
Identification of new businesses and interventions	7		■	■	■	Request for review of corporate approach and information sharing to identify new businesses in the county
Emergency planning	10		■	■	■	Review of arrangements in place to deal with emergency situations and disaster recovery
Confidentiality and protection of information	5		■	■	■	Continuation of visits to offices to assess security, confidentiality etc.
Records management	15		■	■	■	Corporate review of management and retention of files



Area of Work	Plan Days	-----Assurance-----				Comments
		S151	AGS	IA Annual	CET/SLT	
IT performance and capacity management	15		■	■	■	
IT infrastructure	15		■	■	■	
IT procurement of resources	15		■	■	■	
Rhyl One Stop Shop	20	■		■	■	Review of efficiency of processes for handling, recording, allocating income etc.
School Fund management	10	■		■	■	Continued review and improvement of management of School Funds
Recoupment and out of county placement	20			■	■	Full review of service
Additional learning needs and inclusion	20			■	■	Full review of service
Special education	25			■	■	Review of corporate arrangements and visits to specific sites
Family Support services	15	■		■	■	Review of Families First grant
Third Party Payments	10	■		■	■	Review of substantial payments to third parties and contract monitoring across the whole service
Supporting People	10			■	■	Request for review of processes for efficiency
Outcome-focused commissioning	15			■	■	Request for review of new 'outcome focused commissioning' approach to service delivery
Housing allocations and voids	15			■	■	Request for review of efficiency of dealing with void properties and re-letting
Housing maintenance	25			■	■	Review of management, efficiency and effectiveness of council house repairs service
Schools facilities management	15			■	■	Review of management arrangements for schools maintenance

Area of Work	Plan Days	-----Assurance-----				Comments
		S151	AGS	IA Annual	CET/SLT	
Coastal facilities	10			■	■	Review of key risks relating to harbour
Events	7			■	■	Request for review of risks surrounding events
Community Well-being & Youth Services	7			■	■	Request for contingency days for new service arrangements
Procurement	20	■	■	■	■	Implementation of new procurement strategy and contract procedure rule compliance
Flood risk management	5			■	■	Review of management of key flooding risks
Public transport	15			■	■	Review management and monitoring of public transport contracts
Waste management	8			■	■	Review of grants and contracts management
Registrars	15			■	■	Full service review
Early departures	15	■		■	■	Follow up areas as suggested in WAO national study
Building control	15			■	■	Request for review of service due to changes in systems and capacity
<b>Other Annual Areas</b>						
Follow up reviews	70	■	■	■	■	Contingency for following up actions from previous audit reports
Brought forward projects	50	■	■	■	■	Contingency for completing 2015/16 projects in progress at year-end
<b>DCC Assurance Total</b>	<b>1052</b>					
<b>Externally Funded Work</b>						
North Wales Police contract	200					Final year of three-year contract
School Fund audits	35					Contingency for requests from schools

Area of Work	Plan Days	-----Assurance-----				
		S151	AGS	IA Annual	CET/SLT	Comments
<b>Externally Funded Total</b>	<b>235</b>					
<b>Corporate Support</b>						
Corporate Governance Framework and Annual Governance Statement	15					
Consultancy and corporate areas	50				Contingency for committee meetings, working groups etc.	
<b>Corporate Support Total</b>	<b>65</b>					
<b>Internal Audit Support</b>						
IA team meetings, 1:1s, staff appraisals etc.	50					
IA management	60					
IA training and development	50					
<b>Overheads Total</b>	<b>160</b>					
<b>Total Days</b>	<b>1512</b>					

## 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>	Pwyllgor Llywodraethu Corfforaethol
<b>Dyddiad y Cyfarfod:</b>	27 Ebrill 2016
<b>Aelod / Swyddog Arweiniol:</b>	Barbara Smith - Aelod Arweiniol Moderneiddio a Thai. Alan Smith - Pennaeth Gwella Busnes a Moderneiddio
<b>Awdur yr Adroddiad:</b>	Ivan Butler – Pennaeth Archwilio Mewnol
<b>Teitl:</b> 2015-16	Drafft o'r Datganiad Llywodraethu a Gwelliant Blynyddol

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

Mae'r adroddiad hwn yn darparu'r adroddiad hunanasesu drafft ar drefniadau llywodraethu a gwella'r Cyngor ar gyfer 2015/16.

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

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

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

Mae'r Pwyllgor yn adolygu ac yn rhoi sylwadau ar y 'datganiad llywodraethu blynyddol' drafft ar gyfer 2015/16 (Atodiad 1).

## 4. **Manylion yr Adroddiad**

Mae'r Datganiad Llywodraethu a Gwella Blynyddol 2015/16 yn cynnwys hunanasesiad o drefniadau llywodraethu'r Cyngor ac yn dangos meysydd gwella yn ystod y flwyddyn ariannol flaenorol. Mae'n tynnu sylw at unrhyw wendidau mewn cynllun gweithredu, a bydd y Pwyllgor hwn yn eu monitro i sicrhau gweithrediad y gwelliannau angenrheidiol.

Dylai'r Pwyllgor nodi bod hwn yn ddrafft cynnar sydd yn dal i fod yn waith sy'n mynd rhagddo ac mae rhai meysydd y mae angen eu hychwanegu a'u cwblhau. Bydd y fersiwn derfynol y cytunwyd arni yn cael ei llofnodi gan y Prif Weithredwr a'r Arweinydd erbyn 30 Mehefin 2016, ac yn cael ei chyflwyno i'r Pwyllgor hwn gyda'r Datganiad o Gyfrifon.

## 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?**

Amherthnasol – nid oes penderfyniad na chostau yn gysylltiedig â'r adroddiad hwn.

- 7. Beth yw prif gasgliadau'r Asesiad o Effaith ar Gydraddoldeb (AEC) a gynhaliwyd ar y penderfyniad? Dylai fod templed o'r Asesiad o Effaith ar Gydraddoldeb wedi ei lenwi a'i atodi 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 Tîm Gweithredol Corfforaethol wedi ymgynghori ar y Datganiad drafft – ni chafwyd dim sylwadau.
- 9. Datganiad y Prif Swyddog Cyllid**  
Nid oes unrhyw oblygiadau ariannol ynghlwm wrth yr adroddiad hwn.
- 10. Pa risgiau sydd 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**  
Amherthnasol - nid oes angen penderfyniad gyda'r adroddiad hwn.



# **Annual Governance and Improvement Assessment 2015/16 (Draft)**

## Table of Contents

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Introduction.....	1
Summary of our governance arrangements .....	2
Focusing on our purpose and on the outcomes for citizens and service users.. .....	4
Performing effectively in clearly defined functions and roles .....	7
Promoting values for the whole organisation and demonstrating good governance through our behaviour.....	8
Taking informed and transparent decisions and managing risk.....	10
Developing our capacity and capability to be effective .....	14
Engaging with local people and other stakeholders to ensure robust public accountability.....	17
Significant governance issues .....	21
Appendix 1 - Governance Improvement Action Plan.....	22



## Introduction

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### Why we carry out 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 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 public confidence 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 2015-16 and identifies any improvements needed to make the arrangements more robust.

### Self-assessment of our governance and improvement arrangements

Within our annual governance review, we are required to carry out a self-assessment of our arrangements, which we combine with our corporate self-assessment showing how we achieve continuous improvement. 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

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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

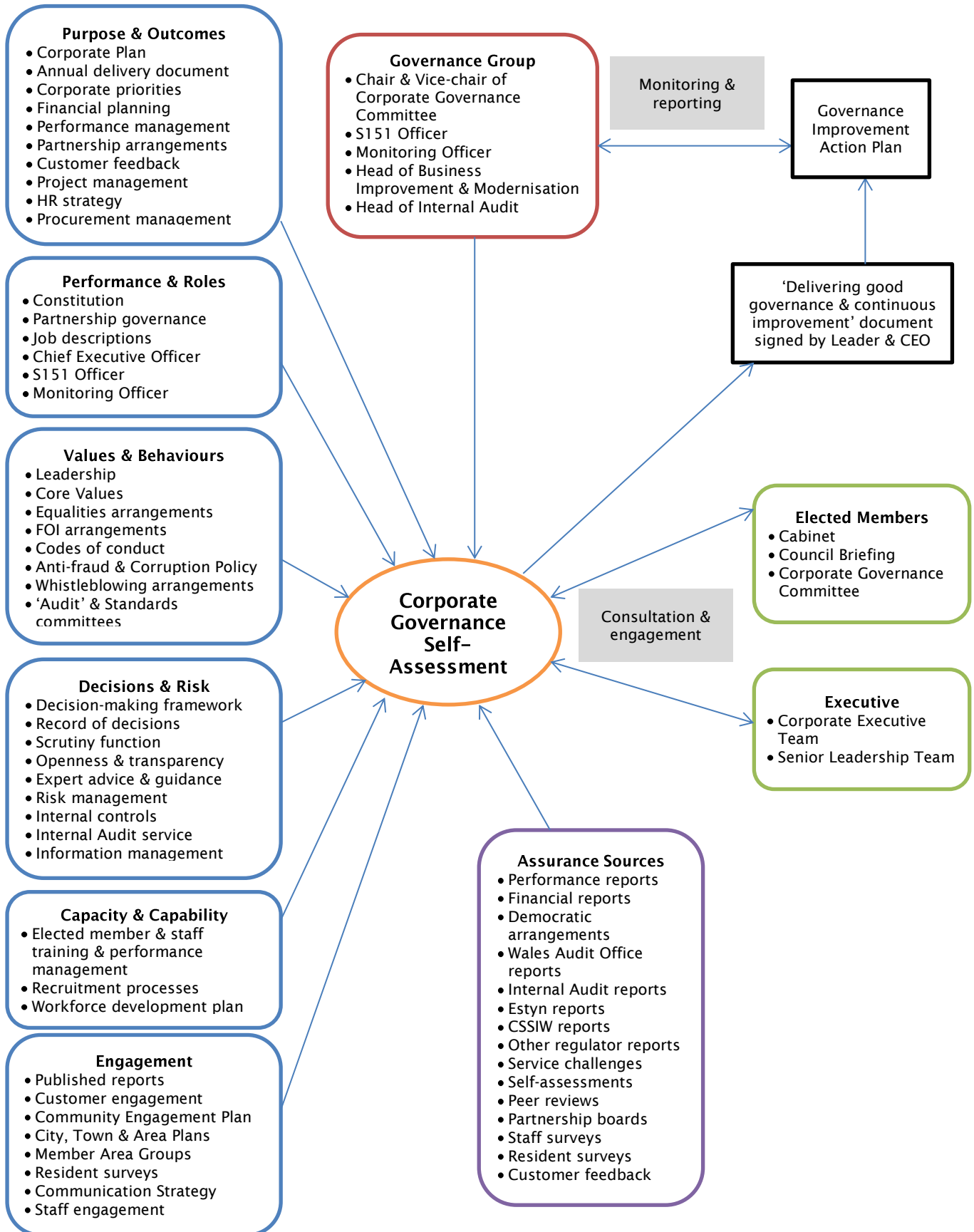
We are required to review the effectiveness of our governance arrangements each year, which includes:

- 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 Corporate Governance Committee that undertakes the core functions of an 'audit committee', including:
  - regular review of our governance arrangements
  - considering and reviewing internal and external audit strategies, plans and reports
  - reviewing, scrutinising and approving the annual statement of accounts
  - monitoring the effectiveness of risk management;
- consulting widely on our self-assessment with senior management and elected members; 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 (WAO) Annual Improvement Report 2015-16 concludes that:

**The Council, with sound financial management and scrutiny arrangements, continues to make progress in delivering improvements in most of its priority areas**

We have clearly stated how our corporate priorities link to our medium-term financial plan and have identified financial and staffing resources to support delivery of our objectives. Over the term of this Council, savings of £28m have been delivered, mostly through efficiency, while at the same time investing in key priorities through the Corporate Plan. There has been a significant degree of internal consultation on budget proposals and we sought residents' views on service cuts. In addition to the detailed impact assessments that were completed for each budget proposal, we have set up an elected member task and finish group to assess the impact of budget decisions on communities. We recognise that the scale of savings that we need to make may not be evenly spread across our services but have robust budget planning processes in place to capture a range of funding scenarios, cost pressures and risks that will allow elected members a range of options to deliver a balanced budget.

The funding picture for the medium term suggests that we may have to continue doing 'less with less' but will still continue to provide vital services. Budget processes will continue to drive out efficiencies and attempt to minimise the impact on service delivery and the Council will always strive to be as efficient as it can be. However, if funding continues to be cut, difficult budget decisions will have to be taken that could also shape the way local services are 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 have reviewed our governance arrangements relating to services provided by alternative service providers (ASPs), for example third party or arms-length service providers. To ensure that we spend public money wisely and that the public continues to receive good services and value for money, we have developed and are beginning to implement, new monitoring arrangements for ASPs to ensure that any services that they provide have robust governance arrangements. We are also implementing scrutiny arrangements to monitor ASPs' financial and operational performance.

One example of this is our revenues and benefits service, which transferred to an ASP at the commencement of 2015/16. The Council's Internal Audit service has since undertaken a thorough review of the governance arrangements and service delivery, concluding that, although some improvements are needed to governance arrangements to bring them into line with the Council's new ASP framework, governance is robust and the services continue to be managed and delivered well under the new arrangements.

We have also reviewed the way we deliver services through our City, 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 the 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 make sure that service users receive a high-quality service and value for money**

We monitor our performance regularly, take regular reports to Scrutiny Committee and Cabinet meetings and produce an Annual Performance Report to evaluate progress. Our performance in the statutory performance indicators is excellent, with 20 in the top half of Welsh local authorities and 14 in the top quartile. We also have the fewest number of performance indicators in the bottom half of performance. We improved or maintained our position in 22 performance indicators, but performance declined in 8 indicators.

Our Service Performance Challenge process 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. The Care and Social Services Inspectorate Wales (CSSIW) and WAO have both commended this approach.

During 2015/16 we developed a new procurement strategy that County Council approved in February 2016, along with new contract procedure rules. This addresses previous weaknesses that Internal Audit identified and that this self-assessment highlighted as a significant governance issue last year. Training is about to be provided to launch the new strategy and contract procedure rules and to raise awareness of the new requirements.

The programme and project management methodologies and the Verto system are working well across the Council. Visibility of projects continues to improve through effective and consistent reporting on our projects to Corporate Executive Team (CET) and various committees. Projects are subject to more scrutiny through Programme Boards and the newly formed Improvement Board, where the viability of the business case continues to be tested. The Programme Office team is currently engaged in some very high profile projects, including the extension and

refurbishment of Ysgol Glan Clwyd, the new high school build in Rhyl and the coastal and waterfront projects in Rhyl and Prestatyn.

The Verto system also incorporates the Council's performance management processes. All service business plans and the corporate and service risk registers are managed 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.

We also receive independent verification of our performance each year from the WAO. Their Annual Improvement Report 2015-16 states that

**Overall, the Council made good progress in addressing previously reported underperformance and it continues to deliver high-quality services but concerns remain in relation to safeguarding vulnerable adults**

This latter comment refers to the CSSIW Performance Evaluation Report 2014-15 that highlighted that, despite increasing capacity for delivering safeguarding for vulnerable adults, we needed to improve performance in relation to Protection of Vulnerable Adults. Internal Audit has since carried out work in this area and found that improvements have been made.

The WAO's report also refers to our progress in trying to ensure a sufficient supply of affordable homes. To address previously reported underperformance, we have reorganised this service and developed a new Housing Strategy that County Council approved in December 2015. The Strategy includes an action plan that will ensure that we make significant progress in increasing the provision of affordable homes in the county over the next five years. *(Final version to include details of WAO audit report on our financial statements for 2015-16)*

Internal Audit's annual service reviews our key financial systems provided positive reports during the year.

The WAO also reported on our financial resilience during the year and found that:

**The Council's future plans and arrangements to deliver savings are fit for purpose and are being effectively managed**

**The Authority has effective controls in place to ensure its financial processes and management are robust, but needs to strengthen its approach to income generation**

**The Council has robust arrangements for reviewing and challenging financial performance and those responsible for managing financial performance are held to account**

## Performing effectively in clearly defined functions and roles

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

Our 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;
- 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.

The Constitution is currently under review, with a new model Constitution to be adopted by Council in June 2016. This will incorporate an updated scheme of delegation reflecting recent structural changes.

Our new framework for delivering services through alternative service providers also ensures that roles and responsibilities for such arrangements are clearly defined, including the role of senior managers and elected members, particularly when representing the Council on boards and committees of these organisations.

### ...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.

During 2015/16, there have been some important changes to our Senior Leadership Team (SLT) structure, due to the loss of three senior managers. Interim arrangements were put in place to manage this period of change. As these arrangements are now coming to an end, a new SLT structure has been put in place

from 1 April 2016 that provides a lean management team that positions the Council well to cope with the future.

## 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, Financial Regulations and employee appraisal process.

Our leadership sets the tone for the organisation by creating a culture of openness, support and respect. We undertook a staff survey in 2015, which showed that 74% of employees felt that the leadership team had a clear vision for the future, compared to 73% in the 2013 survey. However, the level of confidence in the leadership has dropped considerably from 84% in 2013 to 73% in 2015, which is likely to be an effect of the financial cuts and the associated restructuring and modernisation being undertaken at the time of the staff survey. This same level of reduced confidence was reflected at service level.

During the last 12 months, we have developed a Leadership Strategy encompassing leadership attitudes and behaviours, management skills and a responsibility to create a collective leadership culture and capability. Considerable work has been undertaken with SLT and middle managers to embed the strategy and its values into the culture of the organisation.

We continue to develop and enhance our work on equalities and human rights. Services have become more accountable for their work with people with protected characteristics. Much work has been done with schools to raise levels of awareness and develop plans. This will be the last year of our current Strategic Equality Plan, and we are developing an interim plan for the next two years that will strive to align with the Well-being of Future Generations (Wales) Act 2015. In addition, we have developed and produced a new e-learning module for Equality and Diversity and also for Equality Impact Assessments, as well as our equality web page on the Council's website.

### ...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;
- 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;
- 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);
- 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.

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. The WAO's Annual Improvement Report 2015-16 states that

**The Council's scrutiny arrangements support sound decision making and it has adequate corporate processes for responding to reports and recommendations from external regulators**

However, the WAO report does highlight a significant decline in elected member attendance at Scrutiny Committee meetings that we are looking to address.

### ...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 business intelligence, enhancing decision making processes and transforming how the Council uses data collected across the organisation.

## ...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. The Corporate Governance Committee monitors risk management arrangements and reviews the Corporate Risk Register.

One key risk that we are managing is the significant amount of new legislation affecting the Council and its services. We are preparing for this new legislation in various ways, including:

- Establishment of a board to oversee the review of corporate planning and decision-making frameworks in the Council through a range of work streams designed to help implement the Well-being of Future Generations (Wales) Act 2015. All 11 work streams are progressing, with a view to being delivered by March 2017 at the latest. One elected member training session has been provided, with others planned for 2016/17.
- Developing a programme management approach to the implementation of the Social Services and Well-being (Wales) Act 2014. The programme aims to identify any gaps in compliance with the Act, address these gaps and provide a repeatable test of assurance for future use.
- Planning & Public Protection providing various updates on the implementation of the Planning (Wales) Act 2015 to service users; elected members; and city, town and community councils.
- Establishing a corporate group and 'service champions' to help implement the new Welsh Language Standards.

We have an excellent health and safety record and provide a wide range of training and guidance to support the implementation of our Corporate Health and Safety Policy. The Corporate Health, Safety and Welfare Committee comprises elected members and staff representatives and meets regularly to receive updates on health and safety management corporately and across Council services.

We have an independent and objective internal audit service providing assurance across the whole range of the Council's services, including partnerships and alternative service providers. The Head of Internal Audit's annual report for 2015/16 confirmed that we operate a robust system of financial and operational internal controls.

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

Developments in information management have been continuing throughout 2015/16. The main focus of these developments has been on further reducing information risk and modernising the way we handle information. The

modernisation aspect has concentrated on enabling our transition from paper to digital information and the advantages this provides. Some of the main actions addressed over the last 12 months include:

- A corporate confidential waste solution has been developed and implemented. Most Council buildings and many schools now have secure confidential waste containers that are collected and emptied every four weeks.
- An updated information security policy has been developed and shared with key stakeholders for comments, ready for launching during April 2016.
- In recognition of the positive impact that EDRMS (electronic document records management) is having on our services, the Modernisation Board has recently agreed to extend the project until March 2017. The system is now used by over 650 employees and stores over 2.5 million documents.
- Processes for handling and responding to Access to Information requests have been strengthened to ensure that adequate provision is made to manage this workload. Throughout 2015/16, we consistently answered the vast majority (>90%) of all such requests within their timescale.
- Several datasets have been published on our website to try to reduce the number of information requests that services have to respond to.
- We achieved Public Sector Network (PSN) accreditation for 2015/16.
- A transformation programme in the Archive Service is under way, designed to modernise the service and includes the development of an improved website, which provides access to an online catalogue and digital images of collections. The new website was due to be launched during March 2016.
- A restructure of the Corporate Information Team has created a new Digital Records Bureau that will enable the Council to accelerate its conversion from paper to digital records. The new Bureau will have responsibility for digital conversion activities in support of EDRMS implementations, the digital mailroom, modern record file requests and box deposits.

There is still a lot of work to do, for example:

- Preparing the Council for the new Data Protection Act (to be introduced during 2018).
- Embedding the new Digital Records Bureau (including mailroom).
- Embedding the new information security policies.
- Continuing the transformation of the Archive Service.
- Maximising the Council's investment in EDRMS by fulfilling the project's forward work plan up until March 2017.
- Raising awareness of the Corporate Document Retention Schedule and embedding within 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. *Details to be added when annual report of SIRO produced.*

## 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 we are carrying out significantly more inductions.

Employees receive annual performance appraisals, resulting in training and development plans to help them achieve their objectives and fulfil their roles effectively. There was a significant improvement in appraisal completion rates during 2015/16, with 96% of eligible employees receiving an annual appraisal compared to 88% in 2014/15.

As part of our Leadership Strategy, SLT and middle managers will be required to complete a training needs analysis to identify any gaps in skills and experience, which will feed into their individual training plan.

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'. New Portfolio Profiles have been created for each Cabinet Member that are more user-friendly. They now include Cabinet Members' aligned Corporate Plan Priorities, indicating the measures that have been put in place to achieve the priorities by 2017, together with aligned risks from the Corporate Risk Register.

During their appraisals, Cabinet Members are encouraged to share with the Leader any areas where they feel they have performed well or where they may require additional support. They are asked whether they have any training requirements and are encouraged to complete a Personal Development Plan and an Annual Report. They are also encouraged to attend Scrutiny Committee meetings when possible, in particular when there is a discussion about an item relevant to their portfolio. Prior to Cabinet Member appraisals, the Leader has also introduced an invitation for feedback from SLT so that he can discuss this with the Cabinet Member during the appraisal.

Each year, as part of Academi Wales, the Welsh Government and Welsh Local Government Association works in partnership with the Local Government Association to deliver the Leadership Programme for councillors, which the Institute of Leadership and Management (ILM), the UK's leading awarding body for leadership and management, recognises. Four out of the eight Cabinet Members have completed the programme and, due to the dates of this year's programme

clashing with Cabinet meetings, the invitation was extended to Chairs of Scrutiny and the Council's Chair of Corporate Governance Committee who has enrolled and is due to complete the Programme at the end of March 2016.

Scrutiny Committees and the Corporate Governance Committee produce annual reports on their work to County Council.

We are modernising 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-desking policy and introduced more hot-desking facilities;
- 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 an annual workforce planning exercise with each service to identify their priorities for the coming 12 months. This enables Strategic 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 Strategic HR to develop a Workforce Priority Plan, agreed with SLT. In addition, the data collected from performance appraisals enables Strategic HR to identify corporate people development priorities for the coming 12 months. Throughout the year the HR Business Partners work with Heads of Service and re-prioritise their objectives as necessary.

To help develop potential senior managers of the future, we use Middle Managers Conferences to engage them.

'Yr Hwb' cohort for 2015 has now come to an end, and members of the team were involved in a range of key projects, including Modernisation Programme stakeholder and communication events and also work on Economic and Community Ambition Programme promotion campaigns. Directors and Heads of Service provided mentorship for each of the 'yr Hwb' members. Recruitment for the

new cohort for 'yr Hwb' has not been successful despite the benefits to both the organisation and the individuals so we will deliver a new campaign during early summer, with a fresh approach to recruit into the team.

More of our projects are being delivered from within services, benefiting 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.



## 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, external regulator work and outcomes;
- involving and consulting external regulators on key decisions that may affect our governance arrangements;
- acting on any improvements that external regulators identify in their reports; and
- presenting external regulator 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.

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. The Strategy and Toolkit is being revised in line with the Well-being of Future Generations Act.

We continue our close liaison with the 37 city, town and community councils within the county through 'cluster' meetings and an annual liaison meeting attended by our CEO, Council Leader and Council Chairman.

We carried out a Residents Survey in 2015, the results of which we plan to use to help inform future service delivery. Response levels (approximately 700) were lower than for previous surveys, due to the fact that we carried out the survey electronically, apart from in schools, to significantly reduce its cost. Lower response rates affect confidence levels in the results but they do show poorer levels of satisfaction than in previous years across a range of survey questions. The

draft results have been collated and reported to our SLT but need further analysis before deciding on the next steps.

Services carry out individual engagement and consultation, usually on a specific issue, for example on our review of schools provision and the future of care homes, and Community Support Services regularly conducts a Feedback Fortnight on its services. Responses received influence current and future delivery of services.

In delivering Denbighshire's Single Integrated Plan (Supporting Independence and Resilience: Denbighshire's Wellbeing Plan 2014-2018) we have undertaken a pilot Asset Based Community Engagement exercise in Corwen, called 'People to People / Pobl y Bobl'. Our learning from this pilot will inform future community engagement exercises.

We have significantly improved our engagement with business over the last 12 months, although we realise that we still have work to do. We have restructured the Economic and Business Development (EBD) team to be more focused on clear priorities and setting the officers with clear expectations for engaging with businesses. The team's three priorities are:

- engagement with businesses;
- co-ordination of quality support and advice for businesses; and
- implementing Economic and Community Ambition (ECA) Programme projects for the benefit of businesses, focused on:
  - digital infrastructure exploitation
  - business advice and support
  - developing economic growth sectors
  - actions to support town centre economic growth
  - investment enquiry handling.

We have also implemented other improvements in business engagement, including:

- The ECA Programme has been developed to deliver the ECA strategy, with a range of key change initiatives that focus primarily on delivering outcomes and benefits for businesses in order to help them stay healthy and grow.
- Face to face contact with businesses has improved consistently as the new EBD team has worked with local businesses to promote events such as 'Small Business Saturday' and 'Support your High Street'.
- This face to face contact and feedback from our 2015 Business Survey has helped us to develop our 'Business Bootcamp' into a series of business focused events - the 'March for Business' programme. These popular business workshops have focused on finance and funding, employment, HR, and social media for business, all of which will be re-run to cater for extra

demand. The programme also offers opportunities for businesses to engage with specific Council service areas in order to develop beneficial relationships.

- The Corporate Director: Economic and Community Ambition the Council Leader have conducted a series of strategic meetings and visits with key businesses across the county. The Leader has also visited several town centre businesses to demonstrate our commitment to supporting the business community and to gather feedback on areas for future improvement.
- Electronic contact has risen significantly with the establishment of a Twitter feed and blog site to communicate with businesses in different ways. Work with other Council services has improved the Council's web content for businesses and case study video clips have been launched through the EBD blog site in support of the Digital Denbighshire project to encourage businesses to exploit the potential of superfast broadband.
- We have implemented a new system to improve our contact database for companies and are looking at how we use it to its maximum. We have used this to regularly notify businesses of our own events and initiatives and those provided by other support organisations. The system has also been used to maintain and develop more productive relationships with key businesses.
- Business engagement in our 'Better Business for All' project has progressed to a virtual stakeholder group more suited to the requirements of business stakeholders in the project. We are now looking to expand the approach to other services that engage with businesses in their day to day work.
- We have introduced a streamlined investment support process for businesses looking to move into or expand within the county and an 'Investment Toolkit' to support officers to service these enquiries more effectively. Initial feedback from investors is that they have a very positive experience.
- We have established a small business development grant scheme to aid start-up and growing businesses. This has been well received with several expressions of interest.

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

Our whistleblowing procedures ensure that employees can raise issues of concern freely with a wide range of people/bodies. This procedure has recently been reviewed and will be launched over the coming months.

We have several tools (policies, procedures, workforce planning; 1:1s.) to help manage our staffing resources effectively, consistently and fairly. We also 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 2015 survey resulted in an increased response rate from 44.6% to 49% over the 2013 survey. The effects of the financial cuts and the associated restructuring and modernisation are clear to see, with some questions showing significant decline compared to the 2013 results. Perhaps most notable are the key employee engagement questions, although results still remain reasonable. The survey highlighted that:

- fewer employees (76%) are proud to work for the Council compared to 83% in 2013;
- fewer employees (83%) are satisfied with the Council as an employer compared to 88% in 2013;
- 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 61% feel that we plan and deliver changes well; and
- communication remains the same, with only 64% that feel well informed about what is going on in their service.

There are some mixed messages coming out of the survey around communication, which may need to be addressed. On the one hand there is improvement in the percentage who feel informed about what is going on across the Council and the percentage accessing and reading the Headlines / CEO's message, but there are declines in the number who feel that they are consulted about key issues and those who feel that senior managers will act on the survey results. The results from the questions around corporate vision for the future and the confidence in the abilities of the corporate leadership team, suggest that some of the key messages are perhaps not getting across.

## Significant governance issues

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The two significant governance issues that we identified last year have now been addressed. There are no significant governance issues to report this year.

Any less significant issues that we have identified in our self-assessment above, have been included in our Governance Improvement Action Plan that the Corporate Governance Committee monitors (Appendix 1).

We propose over the coming year to take steps to address the issues identified in our Governance Improvement Action Plan 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) .....2016

Signed: ..... (Chief Executive) .....2016

## Governance Improvement Action Plan

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Improvement Area	Action	Responsibility	Timescale
<b>Alternative Service Providers</b>			
The Council needs to ensure that there are robust governance arrangements for all key services provided by alternative service providers in line with its new monitoring framework.	<p>The revenues and benefits service will be reviewed annually as part of Internal Audit's financial assurance work. This will include a review of governance arrangements.</p> <p>The Citizens Advice Bureau service arrangements will be reviewed in Quarter 1 of 2016/17.</p> <p>The value for money aspects of the GwE arrangements will be reviewed annually. This is currently taking place for 2015/16 and is scheduled for Quarter 4 of 2016/17.</p>	Head of Internal Audit Services	<p>Autumn 2016 and annually thereafter</p> <p>By 30 June 2016</p> <p>In progress for 2015/16 and annually thereafter</p>
<b>Performance</b>			
The Council needs to implement its Housing Strategy action plan to improve the provision of affordable homes in the county.	Internal Audit review of the Housing Strategy action plan implementation is scheduled for Quarter 3 of 2015/16 to assess progress.	Head of Internal Audit Services	By 31 December 2016
The WAO report on Financial Resilience identified that the Council needs to strengthen its approach to income generation.	<b><i>Action to be added to final version</i></b>	Chief Finance Officer	<b><i>Date to be added to final version</i></b>

Improvement Area	Action	Responsibility	Timescale
<b>Constitution</b>			
The review of the Council's Constitution needs to be completed, to include a new delegation scheme following restructure of services.	Complete review and present to Corporate Governance Committee.	Head of Legal, HR & Democratic Services	By 30 June 2016
<b>Policy Framework</b>			
The review of the Council's anti-fraud and corruption policy needs to be completed and launched to raise awareness across the organisation.	Complete review and present to Corporate Governance Committee.	Head of Legal, HR & Democratic Services	27 April 2016
<b>Scrutiny Arrangements</b>			
There has been a significant decline in elected member attendance at Scrutiny Committee meetings.	<i>Action to be added to final version</i>	Head of Legal, HR & Democratic Services	<i>Date to be added to final version</i>
<b>Stakeholder Engagement</b>			
There was a poor response rate to the 2015 Residents Survey. The results have yet to be finalised, published and next steps agreed to address issues arising.	<i>Action to be added to final version</i>	Head of Business Improvement & Modernisation	<i>Date to be added to final version</i>

Mae tudalen hwn yn fwiadol wag



<b>Adroddiad i'r:</b>	Pwyllgor Llywodraethu Corfforaethol
<b>Dyddiad y Cyfarfod:</b>	27 Ebrill 2016
<b>Aelod / Swyddog Arweiniol:</b>	Julian Thompson-Hill, Aelod Arweiniol dros Gyllid, y Cynllun Corfforaethol a Pherfformiad Ivan Butler – Pennaeth Archwilio Mewnol
<b>Awdur yr Adroddiad:</b>	Ivan Butler – Pennaeth Archwilio Mewnol
<b>Teitl:</b>	Archwiliad Mewnol o Gynllun Amddiffyn Arfordirol Gorllewin y Rhyl Cam 3

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

Mae'r adroddiad hwn yn rhoi gwybod i'r Pwyllgor am adroddiad Archwilio Mewnol diweddar ar brosiect Amddiffyn yr Arfordir a gafodd sgôr sicrwydd 'Isel'.
- 2. Beth yw'r rheswm dros lunio'r adroddiad hwn?**

Mae'r Pwyllgor yn cael adroddiad Cynnydd Archwilio Mewnol ar gyfer pob cyfarfod sy'n cynnwys manylion yr adroddiadau Archwilio Mewnol a gyhoeddwyd. Adroddiadau yw'r rhain sydd fel arfer â sicrwydd 'Uchel' neu 'Ganolig'. Pan fyddwn yn cyhoeddi sgôr sicrwydd 'Isel' neu 'Dim' mewn adroddiad, bydd y Pwyllgor yn derbyn yr adroddiad fel rhan o'i raglen i sicrhau ei fod yn gwbl ymwybodol o'r adroddiad a gallant drafod y gwelliannau sydd i'w gweithredu gyda'r rheolwr perthnasol.
- 3. Beth yw'r Argymhellion?**

Mae'r Pwyllgor yn rhoi sylwadau ar yr adroddiad Archwilio Mewnol ac yn cytuno ar y sicrwydd mae ei angen bod y cynllun gweithredu o fewn yr adroddiad yn cael ei weithredu'n effeithiol ac o fewn y terfynau amser y cytunwyd arnynt.
- 4. Manylion yr Adroddiad**

Mae'r adroddiad Archwilio Mewnol llawn wedi'i gynnwys fel Atodiad 1.
- 5. Sut mae'r penderfyniad yn cyfrannu at y Blaenoriaethau Corfforaethol?**

Amherthnasol - nid oes angen penderfyniad gyda'r adroddiad hwn.
- 6. Faint fydd hyn yn ei gostio a sut y bydd yn effeithio ar wasanaethau eraill?**

Amherthnasol - nid oes angen penderfyniad gyda'r adroddiad hwn.
- 7. Beth yw prif gasgliadau'r Asesiad o Effaith ar Gydraddoldeb (AEC) a gynhaliwyd ar y penderfyniad? Dylai fod templed o'r Asesiad o Effaith ar Gydraddoldeb wedi ei lenwi a'i atodi i'r adroddiad.**

Amherthnasol - nid oes angen penderfyniad gyda'r adroddiad hwn.
- 8. Pa ymgynghoriadau a gynhaliwyd gyda'r Pwyllgorau Archwilio ac eraill?**

Amherthnasol - nid oes angen penderfyniad gyda'r adroddiad hwn.
- 9. Datganiad y Prif Swyddog Cyllid**

Amherthnasol - nid oes angen penderfyniad gyda'r adroddiad hwn.

- 10. Pa risgiau sydd ac a oes unrhyw beth y gallwn ei wneud i'w lleihau?**  
Amherthnasol - nid oes angen penderfyniad gyda'r adroddiad hwn.
- 11. Pŵer i wneud y Penderfyniad**  
Amherthnasol - nid oes angen penderfyniad gyda'r adroddiad hwn.



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

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# West Rhyl Coastal Defence Scheme (Phase 3)

April 2016



**Lisa Harte BA (Hons) PG (Dip) CMIIA**  
[lisa.harte@denbighshire.gov.uk](mailto:lisa.harte@denbighshire.gov.uk)

01824 708084

**Samantha Davies**  
[samantha.davies@denbighshire.gov.uk](mailto:samantha.davies@denbighshire.gov.uk)

01824 706982

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

## Introduction

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The West Rhyl Coastal Defence Phase 3 project is the final phase of a scheme that aims to reduce the risk of coastal flooding to properties within West Rhyl. The original plan was for three phases of the scheme to be implemented at the same time, but the Welsh Government (WG) only approved the first two phases in January 2011. During May 2012, Phase 3 was removed from the contractor's (Galliford Try Infrastructure) programme of works while discussions were held with WG to resolve issues with the design of Phase 3.

A contract notice for Phase 3 works was placed on the SelltoWales website on 13 May 2014, but tenders exceeded the original budget - the Project Manager explained that this tender included elements of work that were only to proceed if additional funding could be obtained. Phase 3 had been tendered as a stand-alone contract, but Procurement advised that this formed part of a programme of works (with Phases 1 and 2) and the total aggregate value of these works would have exceeded the Official Journal of the European Union (OJEU) threshold of £4.322m. Therefore, a second tendering exercise was undertaken in November/December 2014 using the OJEU compliant North and Mid Wales Trunk Road Agency's (NMWTRA) framework.

The costs for the flood defence element of Phase 3 are met through a WG grant under the Coastal Protection Act, with additional funding through the European Regional Development Fund (ERDF) and Council match-funding. The Council subsequently received WG approval for Phase 3 on 21 October 2014. Other elements of the scheme have been financed through a WG Cycleway grant, a Town Planning grant, and the Council has provided funding for street lighting and drainage repairs.

The Works Unit (formerly known as the Major Projects Group) was responsible for implementation of Phase 3 (although it only took over responsibility for this Phase from January 2014), but was not involved in Phases 1 and 2 of the Scheme (the engineer responsible has left the Council following a restructure of Highways and Environmental Services). The Flood Risk Manager was also involved in the project, having responsibility for liaising with WG for funding.

## Scope of Review

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The Council's previous S151 Officer requested our review to provide assurance that there are robust procurement arrangements in place within the project. The original plan was for this audit to be part of a wider procurement review where the Collaborative Procurement Service would carry out quality assurance checks of several projects where external funding has been provided. If schemes are not managed effectively, they could be subject to grant clawback, which could result in a significant budgetary pressure for the Council.

We developed a contract audit checklist with the involvement of the Collaborative Procurement Service that covered the following areas:

- Governance
- Pre-tendering
- Financing
- Tendering
- Management of the Contract

Our remit was therefore not to comment on the success of the West Rhyl Coastal Defence Phase 3 scheme. To date, this is the first project that we have reviewed using this checklist.

This has been a complex review, and we had to increase our project scope to get an understanding of the history of the West Rhyl Coastal Defence Project. There have been several changes that have to be taken into account, which include:

- WG wanting the Phase 3 element of the Scheme to be re-designed, so this was dropped from the original programme of works (as reported by the Strategic Highways Manager to the Strategic Investment Group in October 2014);
- a restructure of Highways & Environmental Services, resulting in key people involved in the original phases of the project leaving the Council. This also means that the Works Unit has inherited problems arising prior to it being responsible for the project; and
- the Strategic Highways Manager being absent during our review, resulting in us not being able to obtain some key documentation.

Working to tight timescales created additional pressure for the Works Unit team, and it is commendable that the flood defence element of the scheme was completed in less favourable weather conditions in order to claim WG grant funding. However, the tight timescales created a procurement risk in that this did not allow for effective procurement planning. The original tender was due to be awarded to Dawnus Construction in July 2014, but this was not done as the tender amounts exceeded what had been budgeted for the scheme. Additionally, there had been some debate as to whether the Phase 3 element of the scheme still formed a programme of works or could be considered as a standalone scheme. If this had not been clarified at this stage, the total cost of works would have exceeded OJEU thresholds. The Strategic Highways Manager suggested various procurement approaches to the Strategic Investment Group in November 2014 to ensure that the scheme was OJEU compliant. The Collaborative Procurement Service was also involved to ensure that the second tender was OJEU compliant and, if any materials were procured, these would be in line with Contract Procedure Rules (CPRs). Frequent reporting to the Strategic Investment Group shows that there was significant scrutiny and challenge of the project, to ensure that decision making was robust. However, the delivery time for procuring was reduced, particularly during the second tender, which was outside of the control of the project team.

Employees were procured for their professional expertise from Mott Macdonald. This was to assist with meeting the tight project deadlines and to provide technical expertise where it was not available in-house. However, a tender exemption should have been submitted if there were legitimate reasons not to tender, as the value of the work was approximately £42,000. This was only done retrospectively, after we had identified that CPRs had not been complied with.

While key project documentation was generally accessible to us and the project team helpful in assisting us where we had queries, there was not always a clear audit trail in place. For example, we were unable to obtain

written confirmation of WG's timescale to complete the flood defence work (instead this was done retrospectively at the conclusion of our review).

Because of the tighter timescales of the project, there was an increased risk of errors occurring; therefore, it was important to ensure that adequate quality assurance checks were in place. For example, an incorrect amount was detailed in tender documentation for the purchase of Dycel units, which resulted in the tender value being lower, which was identified by the project team after the contract had been let.





Additionally, the cost report for the Phase 3 element of the Scheme shows expenditure relating to 2012/13 and 2013/14, yet the WG grant offer letter stated that the funding is specifically for the period 2014/15 and 2015/16. Our concern was that if they related to Phases 1 and 2 of the programme of works, then they could be deemed ineligible and at risk of grant clawback. However, from an initial review, the project manager is confident that this expenditure relates to Phase 3, and this would be confirmed when the final audit accounts were submitted to WG.

The contractor, Dawnus started work on the project in January 2015, and contract documentation was submitted to Legal Services in March 2015. However, the contract documentation was lost, and this was only identified during our audit in August. A final contract was subsequently signed in October 2015. As identified in our previous Project Management review, this situation is not uncommon, with work starting without a formal written contract in place. Legal has confirmed that, while the best position for the Council is to have a formal written contract in place so there is no dispute over the actual terms agreed, in this case there was still a contractual commitment through issuing a purchase order to the contractor and having a signed tender.

Our review highlighted that there are some other corporate areas that need considering, particularly the role of Procurement, Legal and Finance in projects where there is a significant level of grant funding provided. It is important that they are involved at an early stage to ensure that they have adequate resources in place at key stages of the project, e.g. reviewing a legal contract, clearly defining their roles and responsibilities for the project, and the level of their involvement agreed subject to capacity. The Council also needs to ensure that there are robust arrangements in place to independently quality assure projects where there are potential procurement risks to confirm that services are complying with CPRs and OJEU thresholds. This would be particularly useful for projects that have grant funding and may be at risk of grant clawback.

Based on the areas reviewed, we are giving a low assurance rating because of the nature and, in some cases, corporate impact of the issues raised and the number of other lessons to be learned that we have identified.

**Assurance Rating**  
**(Based on areas reviewed)**

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



## Action Plan

**Audit Review of:** West Rhyl Coastal Defence (Phase 3)

**Date:** April 2016

### Corporate Risk/Issue Severity Key

<b>0</b>	<b>Critical</b> - Significant CET and Cabinet intervention
<b>1</b>	<b>Major</b> - intervention by SLT and/or CET with Cabinet involvement
<b>5</b>	<b>Moderate</b> - Containable at service level. Senior management and SLT may need to be kept informed

Risk/ Issue No.	Risk/Issue	Action	Who	When
1. Tudalen 193	Despite the financial and reputational impacts, there is no project board in place to oversee the Phase 3 element of the Scheme. This has resulted in a lack of evidence being maintained on Verto to show the reporting to the project sponsor and any monitoring and challenge made by him.	All future schemes will comply with Verto. The size of the project board will depend on the risks within the project and must include a decision maker who has sufficient knowledge of procurement.  Further documented guidance on Verto is needed ( <i>this has already been raised as part of our Corporate Project Management review, and will be followed up separately by the Head of Internal Audit</i> ).	Project Manager/ Corporate Programme Office Manager	To be complied with for future schemes
2.	The risk management element of the project would benefit from a review to ensure that risks are regularly reviewed and updated, and that risk reporting is accurate. If a construction risk register template is used, it needs to clearly show the impact if the risk occurred and the action in place to mitigate the risk.	Both the old project management guidance and Verto were used to develop the two risk registers. There is a need for us to maintain the two registers, but we will ensure that any inconsistencies do not occur.	Project Manager	To be complied with for future schemes
3.	The WG grant offer letter details that funding relates to expenditure for 2014/15 and 2015/16, yet there are costs detailed for 2012/13 and 2013/14 on the cost report.	We have incurred costs on the project during 2012/13 and 2013/14 but the vast majority of the invoices paid during this period specifically include reference to Phase 3 of the scheme. While the WG offer letter does state that the funding relates to the period 2014/15 and 2015/16, it	Senior Engineer-Flood Risk Management	April 2016

Risk/ Issue No.	Risk/Issue	Action	Who	When
		<p>should be noted that Phase 3 is the final element of a programme of works that commenced in 2009.</p> <p>However, this will be picked up when we submit the final audited accounts to WG, probably before the end of March 2016. Verbally, WG's view is that all eligible costs for the scheme will be paid, whichever phase they relate to. We will also raise this as a risk on Verto.</p>		
<p>4.</p> <p>Tudalen 194</p>	<p>An assessment of a contractor (selection criteria) should not be carried out at award stage, which should only assess the actual tender bid (award criteria). During the NMWTRA tender, the contractors' previous projects were assessed as part of the award criteria.</p>	<p>The Council's CPRs have been updated (CPRs 2.1.3, 2.1.4 &amp; 3.7.5) to ensure that framework agreements should be followed if there is any discrepancy with the CPRs, as long as it has been ensured that the framework is robust. The new CPRs have also been updated to reflect the use of industry standard national terms and conditions (CPR 3.5.1).</p> <p>Under the new Public Contract Regulations 2015, there is now further limited flexibility to take into account previously defined "selection criteria" as part of any future tender award criteria process. The Collaborative Procurement Service will be reviewing the evaluation criteria as part of its quality assurance process and a review of the templates within the Proactis system will be carried out by the end of Quarter 2 2016/17 to ensure that they align with the new CPRs.</p> <p>Guidance in relation to the selection and award criteria is covered in CPR 3.7.5 and also referred to in separate procurement guidance (Intermediate Value Procurement</p>	<p>Strategic Procurement Manager/ Programme Manager (Facilities, Assets &amp; Housing)</p>	<p>Complete</p> <p>October 2016</p> <p>Complete</p>



Risk/ Issue No.	Risk/Issue	Action	Who	When	
	<p>lower level than a fully signed-up contract document would have provided.</p> <p>Processes are not robust, as there had been inadequate attempts to chase up Legal for the contract, which would have identified that the documentation had been lost.</p>	<p>before the contractor starts work. Within the Proactis e-sourcing solution, we are working with the supplier to ensure that there is a mechanism to collect data for the performance measure - % with an estimated amount over £25,000 with a signed or sealed contract in place within six weeks of the contract award. Monitoring can then be carried out on a monthly basis once this mechanism is in place.</p>	Housing)		
<b>Other lessons to be learned</b>					
Tudalen 196	a)	Ensuring that there is a clear audit trail in place. Within this project we identified that there was no written confirmation from WG of the timescales for the coastal defence work to be completed.	The Flood Risk Manager explained that he will liaise with the WG about the implications of not having documented deadlines for grant funded projects.	Senior Engineer-Flood Risk Management	April 2016
	b)	Putting in place adequate quality assurance measures to ensure that CPRs and relevant procurement legislation are complied with.	We are working with Proactis and Business Team (Facilities, Assets & Housing) to develop a “dashboard” of procurement indicators. We are also reviewing the Procurement Team structure, which is based on a business partner model, and is intended to bring closer co-operation and working between the services and Procurement team, and will help identify and address areas of non-compliance early on.	Programme Manager (Facilities, Assets & Housing)	October 2016
	c)	While outside of the control of this project, having adequate timescales in place to allow for effective procurement planning and to ensure that the market is sufficiently tested.	Unfortunately there were tight timescales due to the need to obtain planning approval and also to suit the June 2015 requirements of WG. Within the new CPRs, which place more emphasis on the need for procurement planning, there is a procurement checklist that will need to be used to ensure that there is sufficient	n/a	n/a

Risk/ Issue No.	Risk/Issue	Action	Who	When
		procurement planning (Procurement will approve checklists where the procurement is above £100,000).		
Tudalén 197 d)	Ensuring that key stakeholders, such as Finance, Legal and Procurement are aware of key projects at an early stage so they can build in resources to be available at key stages of the project, e.g. preparing the contract. It would also be useful for their role to be defined as part of the process so all project staff are clear on their level of input.	<p>Procurement report produced at scheme start-up presented to the board, which includes risks and how the scheme is to be delivered with roles, responsibilities, timeline and cost.</p> <p>Ensure that all necessary information is made available to the team from other sections to enable all paperwork to be filed in one place, e.g. the signed grant offer and signed acceptance letter.</p> <p>A requirement of the new CPRs (2.5 and 2.7), for projects where the expenditure is above £25,000, is the use of a commissioning form. The purpose of the form is to ensure that the procurement element of the project has been properly considered by the relevant service, and subsequently for the Collaborative Procurement service to assess whether the proposed route to market is compliant with the law and these CPRs.</p> <p>This form details how tendering will be carried out, the timescales for the project, a procurement checklist, financing and a risk assessment. It is mandatory for this form to be authorised by the Head of Service, the Section 151 Officer and the Monitoring Officer. For contracts above £1m, the form also needs to be signed by the relevant lead Cabinet member.</p> <p>We will also look to strengthen the process within the Strategic Investment</p>	Project Manager	To be complied with for future schemes

Risk/ Issue No.	Risk/Issue	Action	Who	When
		Group (SIG), e.g. asking specific questions about the project management to determine the robustness of the process. A revised terms of reference is currently being developed for SIG in order to align with a re-established Asset Management Group, which will also have terms of reference. We will ensure that these terms of reference pick up any project management issues.	Programme Manager (Facilities, Assets & Housing)	October 2016
e) Tudalen 198	Ensuring that key members of staff involved in the tendering process are aware of the content of the Council's CPRs and the Public Contracts Regulation. If they need any clarity, they should seek advice from the Collaborative Procurement Service.	Members of staff are due to receive training on the Proactis e-sourcing solution.  See action for risk/issue 4 with regards to other training.	Project Team	January 2016
f) Tudalen 198	A requirement of CPRs (5.3) is to have a scheme of delegation to record officers approved to carry out tendering or entering into contracts. No scheme of delegation could be provided during our review.	The Strategic Procurement Manager advised us that this scheme of delegation is built into the Proactis e-sourcing solution.  However, the new Constitution (not yet in place), will require every service to have a documented scheme of delegation. Therefore, having it contained within Proactis may not be sufficient, as the scheme would need to cover other elements such as decision making.	n/a	n/a

### Governance

There has been a significant amount of scrutiny of the Phase 3 element of the Scheme, both by Cabinet and particularly at the Strategic Investment Group (SIG). SIG had requested further information in relation to the procurement process and risks if the Phase 3 element of the Scheme proceeded. From our review of meeting minutes, it is evident that SIG members raised several legitimate questions in relation to the external funding and timescales of the project.

SIG also agreed at its meeting in November 2014 that the advance purchase of materials for the project would need the approval of both the Corporate Director: Economic and Community Ambition and the previous Head of Finance & Assets (although subsequently it was decided to procure these materials directly through the contractor).

**Risk/Issue**  
**1**  
**Moderate**

There is a documented project management structure detailing the Head of Highways & Environmental Services as project sponsor, but there is no formal project board in place. While the Works Unit Manager, Strategic Highways Manager and the project sponsor met regularly to discuss the project, there is a lack of evidence held on Verto to evidence the reporting to the project sponsor and any monitoring or challenge made by him.

We raised a similar issue in our review of the Ysgol Twm o'r Nant project, with the Corporate Programme Manager looking to have electronic guidance in place by the end of August 2015.

*Following the conclusion of our review, the Corporate Programme Manager advised us that because of the high reputational and financial risks involved, a project board should have been formed and, in fact, all projects should have a board so they can resolve issues and agree changes to the project. He will prepare guidance to define a project and what is deemed business as usual following consultation with senior management.*

*There also appears to be some confusion here, with the Project Manager using an old project management methodology (used prior to Verto being put in place) where having a project board would have been optional in this case.*

The corporate project management methodology has been followed in that there is a business case, the corporate project management system (Verto) has been kept relatively well updated with the progress of the project, and a risk assessment has been completed, identifying the key risks that could affect the project. There is also evidence that the project team met regularly where risks were discussed.

**Risk/Issue  
2  
Moderate**

A separate risk register to that kept on Verto is also maintained to detail specific construction risks, but there are some elements of overlap between the two registers where strategic risks are considered, and we identified that, occasionally, the same risk was scored differently on the two risk registers, which could cause confusion for the project team.

The construction risk register template would also benefit from a review to ensure that the action to manage the risk is clearly detailed and the impact of the risk is considered.

There is also a lack of evidence that the risks are being regularly reviewed, as the last update on both Verto and the construction risk register is March 2015.

## Pre-Tendering

Through discussion, we identified that there is no documented procurement plan/ checklist in place. The latest version of the CPRs in December 2014 details that:

- 14.2 Before undertaking a procurement exercise, the Responsible Officer, shall ensure that:
- (a) All individual procurements projects over the value of £100,000 will require that a Procurement Plan checklist is completed by the Responsible Officer and sent to for approval to the Strategic Procurement Manager prior to undertaking any competitive market testing or negotiation.
  - (b) With respect to procurement projects between the values of £25,000 and £100,000 a Procurement Plan checklist must still be completed and retained on contract file for inspection. Other than for Projects outlined in CPR 14.2 (c), where approval is required by the relevant Head of Service listed below, no further approval will be required.
  - (c) With respect to the following specific procurement projects, additional approval to the above will be required as follows:
    - ICT procurement projects - additional approval to the above will be required from the Manager of Business Transformation & ICT or their designated Responsible Officer
    - Property and Works related procurement projects – additional approval will be required from the Property Manager – Strategic Assets or their designated Responsible Officer
    - Temporary staff Agencies (excluding Matrix) and Interim staff Agencies – additional approval will be required from Head of Human Resources & Occupational Development or their designated Responsible Officer

As the above is a new requirement that was not in the previous version of CPRs, we have not raised an issue in this report but are highlighting it so that it can be used for future projects. However, we consider that, due to the tight timescales of the Scheme, procurement planning was affected and this meant that the market was not adequately tested prior to the original tender process. For example, one of the reasons given by the Project Manager for the original tender bids being significantly higher than budgeted was that the



scheme had been poorly designed by consultants MWA (prior to the Works Unit taking over responsibility of the scheme), and had not taken into account the large increases in the cost of raw materials. Additionally, he said that costs had increased because of the large amount of coastal drainage repairs being undertaken due to the storms in December 2013.

Prior to the second tendering process through the NMWTRA framework, there was significant involvement of the Collaborative Procurement Service, particularly in developing a risk matrix for procuring key materials to be used in the project. This helped to ensure that the project was adequately planned, CPRs and OJEU were complied with, and the market tested, e.g. through publishing a Prior Information Notice (PIN), an early notification of the intent to award a contract/framework, for the supply of Dycel mattresses. However, eventually all materials except sheet piles were procured through the NMWTRA framework under a National Form of Contract. The Project Manager explained that, due to delays in decisions and procurement approvals, there was no longer an advantage in the Council ordering the materials itself. Therefore, the PIN was no longer required.

There was considerable discussion with WG over the design of Phase 3, as WG wanted to use a rock armour solution in front of the existing flood defences. The Council had carried out significant consultation with various services within the Council, members of the public, and the Rhyl Area Member Group who were reluctant to pursue this option due to its visual impact. Instead, a sloped revetment approach was proposed using Dycel mattresses.

We did not review the pre-qualification questionnaire (PQQ) stage, but established that there was evidence that relevant checks were carried out on contractors, including declaration of interests, and checks of financial, insurance, and health and safety.

## Financing

The initial WG decision not to approve the Phase 3 element as part of the original programme of works clearly impacted the project in terms of timescales, as it was hoped that this work could be carried out in 2011/12. When the original tender was prepared via the SelltoWales website, it was planned for the contractor to start on site in September 2014; however, because of the involvement of the Collaborative Procurement Service in helping to ensure that the project used an OJEU compliant tender, and the need to obtain additional funding, work did not start on site until January 2015.

In order to be eligible for the ERDF grant, the coastal defence element of the project had to be completed by the end of June 2015. This resulted in timescales being even tighter, particularly where approvals had to be sought, creating an additional pressure on the project team. Work also had to start on site without all the funding for the project being in place (although the financing for the flood defence work was agreed). It also created a procurement risk, as it gave little time for the market to be tested and to ensure that CPRs and OJEU were complied with.

However, throughout our review, we were unable to evidence that the work needed to be completed by the end of June 2015, as this date is not referred to in WG's grant offer letter. The Strategic Highways Manager, who liaised with WG on the funding for the project, was absent during our review and may have had confirmation from WG via e-mail, but this could not be evidenced. In June 2015, WG contacted the Flood Risk Manager to enquire what stage the project was at, and he responded that the coastal defence element of the works was expected to be completed by 23 June, with all remaining works to be completed by the end of July 2015 subject to funding. In August 2015, the Senior Technical Accountant (Capital) contacted WG to confirm the funding deadline. Having a clearer audit trail would prevent any confusion or disputes over timescales.

The total cost of works (not including materials) for the Phase 3 element of the project has increased significantly from a budgeted figure of £2.6m in July 2014 (as reported to Cabinet). The Project Manager explained that the consultants MWA (who were in place prior to the Works Unit taking over the project) had underestimated the costs of materials when submitting their design to WG. Their design was based on a rock armour solution rather than the Dycel option that was used instead. The Lead Member for Public Realm lobbied WG for additional financial support in August 2014 to cover the additional costs. The bids received as part of the original tender were approximately £2.36m higher than the original estimate. Other contributory factors included the fact that two of the five contractors had pulled out of the tendering process due to their workload, and the cost of the raw materials had increased considerably.

Additionally, there was an increase in the bids received for the NMWTRA tender compared to the original tender (the successful contractor's bid increased by approximately £200,000). This was to take account of the increased risk of the project, as work had originally been planned to start on site in September 2014, but instead began in January 2015, with potentially less favourable weather conditions.

The cost report reviewed during our audit shows that total costs for the project to date (November 2015) were approximately £5.248m, and a forecast total cost of the scheme was £5.556m (the variance at that stage was £283,385 above the budget of £5.272m). There is an overspend on the WG element of the Scheme due to materials being left on site from Phase 1 and 2 so that they could be used for Phase 3, and subsequently they were found to be unusable. The Project Manager explained that the material was taken to a landfill site at a cost of £116,000, with WG having paid £65,000 to date and the rest to be claimed in the next financial quarter (as WG indicated at the start of the works that they would cover any additional overspend). At the conclusion of our review, the Council received a WG approval letter (March 2016) confirming that they have approved an additional sum of £300,990, with the total WG funding increasing to £3,675,118.

**Risk/Issue**  
**3**  
**Moderate**

The WG Grant Offer Letter (December 2014) details:

*“1 (b) The Funding relates to the period 2014/15 to 2015/16”*

However, the cost report we reviewed during our audit (November 2015) shows expenditure for consultants during 2012/13 (£21,497) and 2013/14 (£58,548). It is not clear how much of this expenditure is to do with the Phase 3 project or could be related to Phases 1 and 2, but particularly for the costs for MWA totalling £66,112.98.

As grant funding has been provided specifically for the purpose of delivering Phase 3, the Council is at risk of having to repay any expenditure that does not relate to this scheme.

*At the conclusion of our review, the project manager was confident that this expenditure related to Phase 3, and this has now been confirmed when the final audit accounts were submitted to WG.*

As not all of the finances were in place at the start of the work on site, the design of the Scheme was amended. All the flood defence work has been carried out, but there will be no car parks or landscaping. The Works Unit Manager confirmed that both SIG and Member Area Groups had been advised of the change in design.

## Tendering

Within both the current (December 2014) and the previous version of the CPRs, it states that:

5.3 “Each Head of Service shall compile and maintain a scheme of delegation specific to their department, detailing the names and grades of officers approved for the purposes of obtaining quotations, tendering, entering into contracts and placing orders on the Council and the maximum/contract order value allocated to each officer for these purposes”

We were unable to obtain a documented scheme of delegation during our review, and were advised that the delivery of schemes and contracts is detailed in the job descriptions of the Works Unit employees. The Strategic Procurement Manager explained that this was a common problem within the Council, but with the implementation of the Proactis e-sourcing solution (by April 2016), this delegation will be built into the new system.

A contract notice for the original tender was placed on the SelltoWales website on 13 May 2014; however, the estimate of the contract value was detailed as £1.5m instead of £3.5m. As reported to SIG in November 2014, the implication of this error is that “contractors could have been ‘economically disadvantaged’ i.e. the contract value was lower than contracts they would normally tender for whatever reason”. However, the Works Unit explained that the £1.5m contract value was correct as it was originally intended for the Council to procure the key materials for the project themselves. This would have meant advertising each key material separately on the SelltoWales website and, due to the time constraints, it was decided to

procure these items through the contractor. However, the contract notice was never re-advertised to reflect this change (although the contract was not awarded at this stage).

The above highlights that the Works Unit was working to tight timescales, which can increase errors if there are inadequate quality assurance checks in place. An example of this is where additional Dycel units had to be ordered, as there was a design error and this was included in the tender documents. This resulted in the tender value being advertised at £42,723 lower than it should be and then a variation to the contract had to be made at a later stage.

There is a record maintained of the NMWTRA tender opening process and records that an independent person to the project and tender evaluation, the Lead Member for Public Realm, was present.

Senior Leadership Team (SLT), Cabinet and SIG approved the tender evaluation methodology for the NMWTRA tender, due to the value of the works being carried out and the high risks associated with the project. Three members of staff scored the bids, with DPE Consulting independently assessing them, making an assessment of both the quality and the price of the bids received.

<b>Risk/Issue</b> <b>4</b> <b>Moderate</b>	Assessment of the NMWTRA bids using the award criteria included reviewing the contractors' projects within the last five years. Assessment of the contractor should have been assessed at the PQQ stage using the selection criteria, and the award criteria should only assess the actual tender bid. The Project Manager advised us that this had been done because they needed someone with experience of marine work, and the pre-qualification questionnaire, which had not been completed by the Council, had not assessed this. The Strategic Procurement Manager advised us that in this instance, a pre-filtering stage should have been carried out prior to tender to establish this.
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### Use of Consultants

Prior to the project starting, the Head of Highways & Environmental Services decided to reduce the service's use of consultants and use existing internal resources where their skill set was appropriate. The cost report reviewed during our audit shows that £181,361.24 had been paid to consultants for Phase 3 to 12 November 2015 (including MWA consultants where costs originated from Phase 1 and 2).

**Risk/Issue**  
**5**  
**Moderate**

Of the two consultants that had the highest expenditure, Mott Macdonald and Groundsolve, only Groundsolve is recorded on the Works Unit's contracts register, and current expenditure for Groundsolve (£36,205) has exceeded the amount tendered for (£20,000). The Works Unit explained that the estimated cost had increased due to problems with obtaining approval for the proposed design (carried out by consultants MWA prior to the Works Unit taking over the project) and also due to the need for structural design inputs. Having to go through a second tender also increased costs.

Mott Macdonald was not on the contracts register, as the work had not been tendered due to the lack of availability of marine engineers because of the nationwide flooding at the time. Staff were procured to provide professional expertise and were an added resource in assisting with the project deadlines. The Works Unit explained that Mott Macdonald is on the All Wales Consultancy Framework and its rates were checked against the Welsh Government Technical Professional Services framework. However, a tender exemption should have been submitted if there were legitimate reasons not to tender, due to the value of the work being approximately £42,000. This was only done retrospectively, after we had identified the fact that CPRs had not been complied with.

## Contract Management

After the contract was awarded to Dawnus Construction in December 2014, the contractors started work on site in January 2015; however, discussions during our review (August 2015) identified that there was no signed contract in place with Dawnus. Unfortunately, this is not uncommon, as identified in our Project Management review last year, where we raised a risk/issue in relation to the weak contract arrangements in place within three projects. The Legal Services Manager stated at the time of our review that, "*The best position for the Council to be in is to have terms agreed and signed off in a formal contract, there is then no dispute over the actual terms that have been agreed, only then on what is the correct interpretation of those terms*". With this project, they had issued a purchase order and a signed tender detailing terms and conditions. The Legal Services Manager considered that, in this case, there was a contractual commitment in place as long as any comments or objections that have been made to the terms and conditions of the tender have been incorporated into the final contract.

She did however agree that processes need to be more robust corporately but this depends on the resources allocated to effectively manage the contract from the commencement date to completion. It is also worth noting that our recent Legal Services review raised a risk/issue relating to the

capacity of the only Contract Solicitor (now the Legal Services Manager) who can provide expertise in this area.

**Risk/Issue  
6  
Major**

Discussions with Legal Services identified that they had not received any contract documentation in relation to the project. The Works Unit supplied emails confirming that the documents had been left at County Hall reception (as the Contracts Solicitor was unavailable) in March 2015.

At the conclusion of our review, the contract was with the contractor, Dawnus' legal team but the above process is not robust as:

- Legal Services had not received early notification that it would be needed to review the contract and arrange for it to be signed so it could build in resources;
- the Works Unit had not received written confirmation from Legal Services that it had received the documentation and, despite an initial request for confirmation that the information had been received by them, no further reminders were sent; and
- Legal Services is unable to find the contract documentation (however, there are terms and conditions detailed within the tender and the purchase order for the works).

As we have identified a similar lack of control elsewhere, we consider that there needs to be corporate direction on how much risk (if any) the Council is willing to accept in these circumstances hence why we have raised this as a major risk/issue.

In line with CPRs, the Works Unit maintains a contracts register detailing the name of the contractor, and contract award value, and monitors payments made against the contract.

Various risk assessments and health and safety checks were carried out once the contractor started work on site. There was also evidence of regular communication between the Council and the contractor through having a weekly risk reduction meeting and a monthly project meeting.

## Report Recipients

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- Project Manager (Works Unit)
- Works Unit Manager
- Head of Highways & Environmental Services
- Manager (Corporate Programme Office)
- Strategic Procurement Manager
- Head of Facilities, Assets & Housing
- Programme Manager (Facilities, Assets & Housing)
- Head of Finance
- Head of Legal, HR and Democratic Services
- Corporate Director: Economy and Public Realm
- Lead Officer, Destination, Marketing & Communication
- Lead Member for Public Realm
- Chair - Performance Scrutiny Committee
- Lead Member for Finance, Corporate Plan & Performance
- Corporate Governance Committee
- Scrutiny Co-ordinator

## Key Dates

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Review commenced	June 2015
Review completed	August 2015
Reported to Corporate Governance Committee	27 April 2016
Proposed date for 1st follow up review	To be agreed by Committee

Mae tudalen hwn yn fwriadol wag



## Corporate Governance Committee Forward Work Programme

<b>15 Mehefin 2016</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 Gwasanaethau Archwilio Mewnol / Ivan Butler, y Cynghorydd Julian Thompson-Hill
	4	Adborth o'r Cyfarfod Cydraddoldeb Corfforaethol – ar lafar	
	5	Rhaglen Gwaith i'r Dyfodol	
		<b>Adroddiadau</b>	
Tudalen 209	6	Proses y Gyllideb 2016/17	Prif Swyddog Cyllid / Richard Weigh
	7	Adroddiad Hunanwerthuso'r Pwyllgor Llywodraethu Corfforaethol	Pennaeth Archwilio Mewnol / Ivan Butler
	8	Adroddiad SIRO Blynnyddol	Pennaeth Busnes, Cynllunio a Pherfformiad / Alan Smith
	9	Adroddiad y Cyfansoddiad	Pennaeth y Gwasanaethau Cyfreithiol, Adnoddau Dynol a Democrataidd / Gary Williams ac Lisa Jones
	10	Strategaeth ar gyfer yr ataliad a datgeliad o lygredd dwyll a llwgrwobrwyath	Pennaeth y Gwasanaethau Cyfreithiol, Adnoddau Dynol a Democrataidd / Gary Williams
<b>13 Gorffennaf 2016</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 Gwasanaethau Archwilio Mewnol /

## Corporate Governance Committee Forward Work Programme

			Ivan Butler, y Cynghorydd Julian Thompson-Hill
	4	Adborth o'r Cyfarfod Cydraddoldeb Corfforaethol – ar lafar	
	5	Rhaglen Gwaith i'r Dyfodol	
		<b>Adroddiadau</b>	
	6	Proses y Gyllideb 2016/17	Prif Swyddog Cyllid / Richard Weigh
	7	Adolygiad Ymarfer Plant	Pennaeth y Gwasanaethau Plant a Theuluoedd / Leighton Rees
Tudalen 210	8	Datganiad Cyfrifon Drafft	Prif Swyddog Cyllid / Richard Weigh
	9	Adroddiad Blynyddol ar Rannu Pryderon	Pennaeth y Gwasanaethau Cyfreithiol, Adnoddau Dynol a Democrataidd / Gary Williams
<b>21 Medi 2016</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 Gwasanaethau Archwilio Mewnol / Ivan Butler, y Cynghorydd Julian Thompson-Hill
	4	Adborth o'r Cyfarfod Cydraddoldeb Corfforaethol – ar lafar	
	5	Rhaglen Gwaith i'r Dyfodol	
		<b>Adroddiadau</b>	
	6	Proses y Gyllideb 2016/17	Prif Swyddog Cyllid / Richard Weigh
	7	Ysgol Mair y Rhyl - Diweddariad Adroddiad Archwilio	Pennaeth Archwilio Mewnol / Ivan Butler

## Corporate Governance Committee Forward Work Programme

		Mewnol	
	8	Adroddiad Blynyddol Rheoli'r Trysorlys (Sesiwn Hyfforddi 30 munud cyn y cyfarfod – yn cynnwys manylion am weithredu REPOs) <b>(Gwahodd Pob Aelod)</b>	Prif Swyddog Cyllid / Richard Weigh

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

Mae tudalen hwn yn fwiadol wag