

At: Aelodau'r Pwyllgor Llywodraethu
ac Archwilio

Dyddiad: 17 Tachwedd 2022

Rhif Union: 01824706204

ebost: democrataidd@sirddinbych.gov.uk

Annwyl Gyngorydd

Fe'ch gwahoddir i fynychu cyfarfod y **PWYLLGOR LLYWODRAETHU AC ARCHWILIO, DYDD MERCHER, 23 TACHWEDD 2022** am **9.30 am** yn **SIAMBR Y CYNGOR, NEUADD Y SIR, RHUTHUN A THRWY GYNHADLEDD FIDEO.**

Yn gywir iawn

G Williams
Swyddog Monitro

AGENDA

1 YMDDIHEURIADAU

2 DATGANIADAU O FUDDIANT (Tudalennau 5 - 6)

Dylai'r Aelodau ddatgan unrhyw gysylltiad personol neu gysylltiad sy'n rhagfarnu ag unrhyw fater a nodwyd fel un i'w ystyried yn y cyfarfod hwn.

3 MATERION BRYD

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

4 COFNODION (Tudalennau 7 - 16)

Derbyn cofnodion cyfarfod y Pwyllgor Llywodraethu ac Archwilio a gynhaliwyd ar 04 Hydref 2022 (amgaeir copi).

5 COFRESTR RISG CORFFORAETHOL (Tudalennau 17 - 138)

I dderbyn y wybodaeth ddiweddaraf ar adolygiad Medi 2022 o'r Gofrestr Risg Gorfforaethol a'r Datganiad Awydd Risg (copi wedi'i amgáu).

6 ADRODDIAD BLYNYDDOL SIRO (Tudalennau 139 - 144)

Derbyn adroddiad gan y Pennaeth Interim o Wella Busnes a Moderneiddio (copi wedi'i amgáu) sy'n manylu ar dorri'r ddeddf diogelu data a chwynion yn ymwneud â Deddfwriaeth Rhyddid Gwybodaeth.

7 PROSES GYFALAF A DYFODOL Y GRŴP BUDDSODDI STRATEGOL
(Tudalennau 145 - 158)

Derbyn diweddariad ar broses arfaethedig o osod cyllideb gyfalaf newydd a newidiadau drafft i Gylch Gorchwyl ac enw'r Grŵp Buddsoddi Strategol (copi wedi'i amgáu).

8 DIWEDDARIAD AR BROSES GYLLIDEB (Tudalennau 159 - 170)

Derbyn y wybodaeth ddiweddaraf am y Cynllun Ariannol Tymor Canolig presennol ac Amserlen y Gyllideb (copi wedi'i amgáu).

9 Y NEWYDDION DIWEDDARAF AM DDATGANIAD O GYFRIFON 2021/22
(Tudalennau 171 - 176)

Derbyn a diweddarau ar archwiliad y Datganiad Drafft o Gyfrifon 2020/21 (copi wedi'i amgáu).

10 RHAGLEN GWAITH PWYLLGOR LLYWODRAETHU AC ARCHWILIO
(Tudalennau 177 - 184)

Ystyried blaenoriaid rhaglen waith y pwyllgor (copi wedi'i amgáu).

ADRODDIAD GWYBODAETH

11 ADRODDIAD GWYBODAETH - MATERION RECRIWTIO A CHADW STAFF MEWN GWASANAETHAU CYMDEITHASOL (Tudalennau 185 - 192)

Derbyn am wybodaeth adroddiad am faterion recriwtio a chadw mewn Gwasanaethau Cymdeithasol (copi wedi'i amgáu).

AELODAETH

Y Cynghorwyr

Ellie Chard
Justine Evans
Carol Holliday

Merfyn Parry
Elfed Williams
Mark Young

Aelod Lleyg

Nigel Rudd
David Stewart

Paul Whitham

COPIAU I'R:

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

Mae tudalen hwn yn fwriadol wag

DEDDF LLYWODRAETH LEOL 2000

Cod Ymddygiad Aelodau

DATGELU A CHOFRESTRU BUDDIANNAU

Rwyf i,
(enw)

*Aelod /Aelod cyfetholedig o
(*dileuer un)

Cyngor Sir Ddinbych

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

Dyddiad Datgelu:

Pwyllgor (nodwch):

Agenda eitem

Pwnc:

Natur y Buddiant:

(Gweler y nodyn isod)*

Llofnod

Dyddiad

Noder: Rhwng ddigon o fanylion os gwelwch yn dda, e.e. 'Fi yw perchennog y tir sy'n gyfagos i'r cais ar gyfer caniatâd cynllunio a wnaed gan Mr Jones', neu 'Mae fy ngŵr / ngwraig yn un o weithwyr y cwmni sydd wedi gwneud cais am gymorth ariannol'.

Mae tudalen hwn yn fwriadol wag

PWYLLGOR LLYWODRAETHU AC ARCHWILIO

Cofnodion cyfarfod o'r Pwyllgor Llywodraethu ac Archwilio a gynhaliwyd yn SIAMBR Y CYNGOR, NEUADD Y SIR, RHUTHUN A THRWY GYNHADLEDD FIDEO, Dydd Mawrth, 4 Hydref 2022 am 9.30 am.

YN BRESENNOL

Y Cynghorwyr Ellie Chard a Mark Young

Aelodau Lleyg Nigel Rudd a Dave Stewart

Aelod Cabinet – Y Cyngorydd Gwyneth Ellis – Aelod Arweiniol Cyllid, Perfformiad ac Asedau Strategol.

HEFYD YN BRESENNOL

Cyfarwyddwr Corfforaethol: Llywodraethu a Busnes – Swyddog Monitro (GW), Pennaeth Cyllid a Gwasanaethau Eiddo (Swyddog Adran 151) (SG), Cyfarwyddwr Corfforaethol ar gyfer Cymunedau (NS), Prif Archwilydd Mewnol (BC), Uwch Ymgynghorydd Iechyd a Diogelwch Corfforaethol (DR), Pennaeth Gwasanaeth Dros Dro - Strategaeth a Pherfformiad, Prosiectau, Newid Hinsawdd, Datblygu Cymunedol, Archwilio Mewnol (NK), Pennaeth Gwasanaethau Plant (RM), Rheolwr Gwasanaeth (LA), Gweinyddwr Pwyllgorau (SLW) (Trefnydd Zoom) a Gweinyddwr Pwyllgorau (SJ).

Roedd cynrychiolydd o Archwilio Cymru, sef Gwilym Bury, hefyd yn bresennol.

1 YMDDIHEURIADAU

Cafwyd ymddiheuriadau gan y Cynghorwyr Justine Evans, Carol Holliday, Merfyn Parry ac Elfed Williams.

Derbyniwyd ymddiheuriadau gan yr Aelod Lleyg Paula Whitham.

Hysbysodd David Roberts y pwyllgor ei fod yn bresennol i gyflwyno eitem 6 ar y rhaglen ar ran Gerry Lappington a anfonodd ymddiheuriadau.

2 PENODI IS-GADEIRYDD

Gofynnwyd am enwebiadau ar gyfer Aelod i wasanaethu fel Is-gadeirydd y Pwyllgor am y flwyddyn i ddod. Enwebodd yr Aelod Lleyg David Stewart y Cyngorydd Mark Young, ac eiliwyd hynny gan y Cyngorydd Ellie Chard. Ni dderbyniwyd unrhyw enwebiadau eraill felly;

PENDERFYNWYD y dylai'r Cyngorydd Mark Young gael ei benodi fel Is-gadeirydd y Pwyllgor Archwilio a Llywodraethu ar gyfer y flwyddyn i ddod.

3 DATGANIADAU O FUDDIANT

Hysbysodd y Cyngorydd Ellie Chard y pwyllgor ei bod wedi bod yn aelod o bwyllgor Iechyd a Diogelwch y Cyngor a'r Pwyllgor Craffu Perfformiad sydd ill dau yn cael eu nodi mewn adroddiadau o fewn y rhaglen. Cadarnhaodd y Swyddog Monitro nad oes angen i aelodau nodi eu hymrwymadau mewn pwyllgorau yn y gorffennol wrth ddatgan cysylltiad gan eu bod yn bwyllgorau mewnol o fewn yr Awdurdod.

Datganodd y Cadeirydd, sef yr Aelod Lleyg David Stewart, gysylltiad personol gan ei fod hefyd yn aelod o Bwyllgor Llywodraethu ac Archwilio Cyngor Wrecsam a gallai rhywfaint o'r wybodaeth ymwneud â'r Awdurdod hwnnw.

4 MATERION BRYD

Nid oedd unrhyw fater bryd.

5 COFNODION

Cyflwynwyd cofnodion cyfarfod y Pwyllgor Llywodraethu ac Archwilio a gynhaliwyd ar 27 Gorffennaf 2022.

Materion yn codi –

Tudalen 8 – Cofnodion – Nid oedd holiaduron Archwilio Mewnol wedi dechrau cael eu cyhoeddi'n chwarterol eto. Roedd yr archwilydd mewnol a gyhoeddodd yr arolygon ar hyn o bryd ar salwch tymor hir. Byddai'r dasg yn cael ei gwireddu i aelod arall o staff pe bai angen.

Tudalen 8 – Cofnodion – Cadarnhawyd bod hyfforddiant Rheoli'r Trysorlys wedi'i drefnu ar gyfer 28 Hydref i'w gyflwyno gan Arling Close. Cadarnhawyd bod Cymdeithas Llywodraeth Leol Cymru wedi darparu modiwl e-ddysgu oedd yn ymwneud â gwaith y pwyllgor. Byddai dyddiad yn cael ei bennu ar gyfer sesiwn hyfforddi cyn y cyfarfod nesaf.

Tudalen 11 - Datganiad Drafft o Gyfrifon - Cadarnhawyd nad oedd unrhyw bryderon sylweddol wedi'u codi yn ystod cyfnod archwilio'r broses.

PENDERFYNWYD yn amodol ar yr uchod, y dylid derbyn a chymeradwyo cofnodion cyfarfod y Pwyllgor Llywodraethu ac Archwilio a gynhaliwyd ar 27 Gorffennaf 2022 fel cofnod cywir.

6 ADRODDIAD BLYNYDDOL IECHYD A DIOGELWCH CORFFORAET

Arweiniodd yr Uwch Ymgynghorydd Iechyd a Diogelwch Corfforaethol aelodau drwy'r adroddiad Iechyd a Diogelwch Corfforaethol blynyddol (a gylchredwyd yn flaenorol).

Roedd adran gyntaf yr adroddiad yn cynnwys asesu'r perfformiad Iechyd a diogelwch o ran sut mae'r diwylliant yn gweithio, roedd sgôr sicrwydd canolog wedi cael trac gwella parhaus o'r blynyddoedd blaenorol.

Trwy gydol y flwyddyn ariannol 2021/2022 dim ond un digwyddiad RIDDOR oedd wedi cael ei ymchwilio'n ffurfiol gan yr HSE. Roedd y digwyddiad yma yn ymwneud

â phedwar cwsmer o ganolfan hamdden Rhuthun oedd yn cael sioc drydanol yn y cawodydd. Roedd y canlyniad yn weddol fach ac ni ddaeth y rheoleiddiwr o hyd i unrhyw fai gyda DCC na'r cyflenwr cyfleustodau.

Parhaodd Cyngor Sir Ddinbych i gael eu hasesu gan lechyd a Diogelwch Corfforaethol fel sefydliad sy'n eistedd yn y parth "cyfrifiannell a rhagweithiol".

Arweiniwyd yr aelodau trwy'r pwyntiau i'w nodi yn ystod 2021-2022 o fewn papurau'r agenda. Roedd dadansoddiad o ddamweiniau a digwyddiadau ar gael yn Atodiad 2 i'r papur.

Diolchodd y Cadeirydd i'r swyddog am bapurau ac eglurhad manwl y tîm a chanfyddiadau dros y flwyddyn. Mewn ymateb i gwestiynau'r aelodau, ehangodd swyddogion ar y canlynol:

- Cadarnhawyd yn ystod y flwyddyn, roedd 2 farwolaeth. Roedd y ddau wedi bod yn breswylwyr mewn cartrefi gofal. Nid oedd modd adrodd y marwolaethau i RIDDOR.
- Cytuno swyddogion i roi rhagor o fanylion am bryderon penodol oedd gan aelodau.
- Roedd y nifer uchel o ddigwyddiadau a gafodd eu hadrodd gan hamdden Sir Ddinbych oherwydd adroddiadau Hamdden Cyfyngedig Sir Ddinbych a chofnodi unrhyw ddigwyddiad neu ddamwain. Roedd nifer o'r recordiad yn fach iawn.
- Cafodd yr adroddiad hefyd ei gyflwyno i'r Cyd-bwyllgor Ymgynghorol ar gyfer lechyd a Diogelwch a Chysylltiadau Gweithwyr bob chwarter. Roedd y cyfarfod hwn yn gadarn ac yn cynnig her i'r ffigyrau ac i iechyd a diogelwch. Cafodd yr adroddiadau eu hanfon ymlaen at yr uwch dîm arwain hefyd. Cafodd y gofrestr risg gorfforaethol hefyd ei hadrodd i'r Tîm Gweithredol Corfforaethol.
- Byddai Archwilio Mewnol yn cynnal archwiliad o'r gwasanaeth fel rhan o'i raglen waith.

Diolchodd y Cadeirydd i'r swyddogion am yr holl bapurau manwl a'r ymateb i gwestiynau aelodau.

PENDERFYNWYD hynny, mae'r Pwyllgor Llywodraethu ac Archwilio yn derbyn yr adroddiad, nodi ei gynnwys a chymeradwyo cynllun Gwaith y Tîm lechyd a Diogelwch Corfforaethol ar gyfer 2021/22.

7 AROLYGIAETH GOFAL CYMRU - AROLYGU GWASANAETH DERBYN AC YMYRRYD 2021

Cyflwynodd Pennaeth Gwasanaethau Plant yr adroddiad i aelodau (a gylchredwyd yn flaenorol) gan nodi bod gwiriad sicrwydd wedi cael ei gynnal gan AGC ym Mehefin/ Gorffennaf 2021. Yn yr adolygiad hwnnw roedd nifer o ganfyddiadau positif wedi cael eu hadrodd bod nifer o feysydd i'w gwella hefyd. Cafodd cynllun gweithredu ei greu er mwyn gwella ar y meysydd oedd yn destun pryder. Fe wnaeth yr archwiliad dilynol dynnu sylw at rai meysydd gwella, ond

cydnabod effaith nifer uchel o swyddi gwag ar draws y gwasanaeth a effeithiodd ar y daith welliant. Roedd cadw staff a recriwtio yn cael ei ystyried yn bryder cenedlaethol.

Parhaodd cyfarfodydd rheolaidd â AGC i adolygu'r camau a gymerwyd yn unol â'r cynllun gweithredu. Roedd swyddogion yn cydnabod bod yna waith o hyd oedd ei angen i wella'r ardal o fewn gwasanaeth.

Daeth cadarnhad bod hyfforddiant staff ym mhob agwedd o'r ardal yn parhau. Y teimlad oedd, er bod gan yr adran bryderon staffio roedd hyfforddiant bob amser yn cael ei flaenoriaethu.

Yn ystod y drafodaeth rhoddodd y swyddogion esboniad pellach ar y canlynol:

- Mewn hyfforddiant tŷ ar sefyllfaoedd 'bywyd go iawn' oedd wedi digwydd. 'Sesiynau ymarfer a gwella' wythnosol oedd y rhain i drafod gwahanol wasanaethau oedd ar gael i staff yr ardal.
- Roedd lefelau recriwtio a chadw staff wedi'u dwysáu i gael ei gynnwys ar y Risg Corfforaethol yn Sir Ddinbych. Cynhaliwyd cyfarfodydd rheolaidd i fynd i'r afael â'r mater. Fel cyflogwr roedd Sir Ddinbych wedi edrych ar y cynigion am weithio i'r awdurdod. Roedd llawer o waith tu ôl i'r llenni gwaith yn digwydd yn rhanbarthol ac o fewn Sir Ddinbych. Roedd strwythur cyflog cenedlaethol wedi cael ei alw amdano.
- Diolchodd yr aelodau i'r swyddogion am yr ymroddiad parhaus a'r gwaith caled
- Mae blaenoriaethu atgyfeiriadau amddiffyn plant wedi parhau. Roedd nifer o weithwyr cymdeithasol ar draws dros ardaloedd o'r adran wedi cael eu galw i mewn i gefnogi'r ardal. Roedd y tîm porth (tîm cychwynnol) wedi'i gryfhau a oedd wedi lleihau nifer y llwyth gwaith wedi hynny ychydig.
- Roedd pob awdurdod ar draws y rhanbarth wedi bod yn cael anawsterau i gyflawni dyletswyddau statudol. Blaenoriaeth swyddogion oedd sicrhau dyletswyddau statudol Sir Ddinbych lle cyfarfu, gan gefnogi plant a thrigolion bregus i oedolion yn Sir Ddinbych. Nodwyd bod y pandemig wedi creu dull gweithio mwy hyblyg i weithwyr cymdeithasol. Nodwyd bod gweithwyr cymdeithasol Sir Ddinbych yn parhau i gyfarfod unigolion a theuluoedd yn y gymuned.
- Roedd recriwtio a chadw staff yn eitem reolaidd o drafod yng nghyfarfodydd y Tîm Gweithredol Corfforaethol. Roedd grŵp mewnol wedi'i sefydlu i fynd i'r afael â recriwtio a chadw staff yn y sector gofal. Amlygwyd hefyd bod adroddiad wedi ei gyflwyno i Graffu Perfformiad ynghylch salwch ac ystadegau trosiant fel awdurdod cyfan. Cafodd yr aelodau wybod bod arbenigwr recriwtio wedi bod yn recriwtio mewn AD i helpu recriwtio gofal cymdeithasol.
- Byddai adroddiad yn y dyfodol ar recriwtio a chadw staff o fudd i aelodau fonitro recriwtio a chadw staff fel awdurdod cyfan. Cadarnhawyd bod adroddiad archwilio mewnol wedi'i drefnu ar gyfer y chwarter diwethaf.
- Awgrymodd yr aelodau y dylid cyflwyno adroddiad cyffredinol ar y cyfleustra cynharaf ar gynllunio'r gweithlu yng nghyfarfod pwyllgor mis Ionawr.
- Cytunwyd ar adroddiad gwybodaeth am yr heriau recriwtio ym maes Gofal Cymdeithasol i gael ei gyflwyno yng nghyfarfod pwyllgor mis Tachwedd.

Fe wnaeth aelodau'r pwyllgor ddiolch i'r swyddogion am yr adroddiad manwl.

PENDERFYNWYD bod y Pwyllgor yn ystyried llythyr canfyddiadau AGC ac yn deall y meysydd i'w gwella. Cytunwyd i dderbyn adroddiad gwybodaeth am recriwtio a chadw staff yn y sector gofal cymdeithasol ym mis Tachwedd. Fe wnaeth aelodau hefyd gytuno i dderbyn adroddiad ar gynllunio'r gweithlu ym mis Ionawr.

8 ADRODDIAD ARCHWILIO CYMRU - CYFLAWNI GWELLIANT PERFFORMIAD PARHAUS

Cyflwynodd yr Aelod Arweiniol dros Gyllid, Perfformiad ac Asedau Strategol ynghyd â'r Pennaeth Dros Dro ar gyfer Gwella Busnes a Moderneiddio adroddiad Archwilio Cymru (a gylchredwyd yn flaenorol).

Cafodd yr aelodau wybod eu bod yn y papurau oedd adroddiad Archwilio Cymru yn cynnwys argymhellion a wnaed gan Archwilio Cymru a'r ymatebion gan swyddogion y camau y dylid eu cymryd yn erbyn yr argymhellion hynny.

Fe wnaeth Archwilio Cymru gynnal adolygiad manwl o berfformiad yr Awdurdodau yn 2021. Eglurwyd eu bod wedi edrych ar systemau a phrosesau yn eu lle gan edrych yn ddyfnach ar y trefniadau ar gyfer addysg a phobl ifanc a gwasanaethau amgylcheddol a oedd yn gysylltiedig â blaenoriaethau corfforaethol ar y pryd. Yn gyffredinol y casgliad oedd bod gan Sir Ddinbych drefniadau effeithiol ar waith ar gyfer ei rheolaeth perfformiad.

Cafodd yr aelodau eu tywys drwy'r argymhellion gafodd eu hawgrymu gan Archwilio Cymru ac ymateb y rheolwr oedd wedi ei gynnwys ym mhapurau'r agenda gan gynnwys amserlen pob argymhelliad.

Tynnodd cynrychiolydd Archwilio Cymru sylw at argymhelliad 3, gan wella argaeledd gwybodaeth am berfformiad i aelodau a'r cyhoedd. Nodwyd pa anawsterau yr oedd gwasanaethau wedi'u gweld yn ystod pandemig Covid 19 a'r gobaith oedd dilyn llacio'r cyfyngiadau y byddai hyn yn cael ei wella.

Yn dilyn y cyflwyniad, trafodwyd y canlynol yn fanwl bellach:

- Cafodd yr adroddiad ei gyhoeddi gan Archwilio Cymru ym mis Ionawr 2022, er y byddai swyddogion wedi gobeithio cyflwyno i bwyllgor ar gyfle cynharach oherwydd y pandemig roedd wedi'i ohirio. Atgoffwyd yr aelodau fod etholiad y Cyngor wedi digwydd a oedd hefyd wedi cyfrannu at yr oedi. Roedd gan Archwilio Cymru ddim pryder gyda'r amserlen. ...
- AD sy'n gyfrifol am 1:1. Mae templed i reolwyr ei ddilyn a'i gwblhau. Roedd yn dempled trylwyr a oedd yn cynnwys amcanion gwaith a lles cyffredinol gweithwyr. Yr isafswm gofyniad i'r mwyafrif helaeth o staff oedd tri i'w gwblhau yn ystod blwyddyn, roedd y targed hwn yn aml yn cael ei ragori gan reolwyr ac yn cael ei gynnig yn fwy rheolaidd. Cyhoeddodd AD adroddiadau i reolwyr fynd i'r afael ag unrhyw bryderon. Mae'r adroddiadau yn cael eu creu'n fisol.
- Roedd yn aml yn logio'r 1:1 ar y system na chafodd ei chwblhau.

- Pwysleisiwyd pwysigrwydd gwybodaeth gymharol yn genedlaethol ac yn rhanbarthol. Roedd gwybodaeth gymharol a rennir yn genedlaethol wedi'i hatal yn ystod y pandemig. Y gobaith oedd y byddai hyn yn cael ei adfer fel y gallai'r awdurdod gymharu ei berfformiad yn erbyn awdurdodau eraill.
- Roedd marcio mainc wedi gostwng yn ystod y pandemig y gobaith oedd y byddai hyn yn cynyddu wrth symud ymlaen ac yn caniatáu i wasanaethau gymharu â pherfformiad awdurdod arall.

PENDERFYNWYD hynny;

i. Cadarnhaodd y Pwyllgor ei fod wedi darllen, deall a rhoi ystyriaeth i'r cynnwys ac argymhellion yn adroddiad Archwilio Cymru ar Ddarparu Gwella Perfformiad Parhaus ac;

ii. Bod y Pwyllgor wedi nodi'r camau y cytunwyd arnynt yn yr ymateb i'r rheolwyr.

Ar y pwynt hwn (11.20am) cafwyd egwyl o 10 munud.

Ailddechreuodd y cyfarfod am 11.30am.

9 DIWEDDARIAD ARCHWILIO MEWNOL

Cyflwynodd yr Aelod Arweiniol dros Gyllid, Perfformiad ac Asedau Strategol ynghyd â'r Prif Archwilydd Mewnol (CIA) yr adroddiad (a gylchredwyd yn flaenorol). Diweddarwyd yr aelodau ar gynnydd y Tîm Archwilio Mewnol o ran ei ddarpariaeth gwasanaethau, darpariaeth sicrwydd, adolygiadau wedi'u cwblhau, perfformiad ac effeithiolrwydd wrth yrru gwelliant.

Roedd yr adroddiad yn rhoi gwybodaeth am waith a wnaed gan Archwilio Mewnol ers cyfarfod y pwyllgor diwethaf. Caniataodd i'r pwyllgor fonitro perfformiad a chynnydd Archwilio Mewnol yn ogystal â darparu crynodebau o adroddiadau Archwilio Mewnol. Cynhwyswyd hefyd grynoded o'r newidiadau i strwythur Archwiliad Mewnol ar gyfer cyfeirnod aelodau.

Daeth cadarnhad bod 8 Archwiliad wedi ei gwblhau ers cyfarfod y pwyllgor diwethaf. Roedd yr archwiliadau gorffenedig i gyd wedi cael sicrwydd uchel neu ganolig. Roedd dau adolygiad dilynol wedi'u cwblhau ers y diweddariad diwethaf a chafodd crynodebau eu cynnwys er gwybodaeth. Cyflwynwyd un o'r dilyniant i'r Pwyllgor Craffu Partneriaeth Gorffennaf 2022. Roedd adolygiad Cymhelliant Twyll Cenedlaethol hefyd wedi'i gwblhau gan y tîm archwilio.

Darparwyd manylion y tîm a'i golur i'r pwyllgor. Y gobaith oedd y byddai cymeradwyo penodi uwch-archwilydd yn cael ei gymeradwyo a mynd allan i recriwtio. Roedd y tîm hefyd wedi cael aelod o staff ar absenoldeb hirdymor.

Diolchodd y Cadeirydd i'r Aelod Arweiniol a'r Prif Swyddog Mewnol am y cyflwyniad manwl.

Yn ystod y drafodaeth –

- Cadarnhawyd bod archwiliad o reffeniw a budd-daliadau ar gyfer 2022/23 i fod i ddechrau.
- O ran yr adroddiad Cydraddoldeb dywedodd o fewn rheswm bod y cyngor yn cydymffurfio. Roedd y rhain wedi bod yn dair gweithred i gael sylw. Ar ôl i'r tri gweithred gael eu datrys byddai'r tîm archwilio yn fodlon. Roedd y camau gweithredu wedi cael amserlen i'w cwblhau cyn adolygiad dilynol. Byddai canfyddiadau adolygiadau dilynol yn cael eu cynnwys mewn adroddiadau diweddar a gyflwynwyd i'r pwyllgor Llywodraethu ac Archwilio.
- Daeth cadarnhad fod y cyfarfod cyntaf o fforwm Cydraddoldeb i fod i gael ei gynnal ddiwedd Hydref 2022. Cafodd adroddiad cenedlaethol ei lunio gan Archwilio Cymru ar Gydraddoldeb Asesiadau effaith, gan nodi bod materion sy'n cael eu darganfod yn lleol hefyd yn cael eu canfod yn genedlaethol.
- Cafodd canmoliaeth i staff y tîm Archwilio am ymatebion cyflym i gwestiynau aelodau ei amlygu. Roedd aelodau eisiau diolch i'r tîm am roi adborth ar bryderon y tu allan i'r cyfarfod.
- Cafodd y rhaglen waith ei hadolygu'n gyson. Mae peidio â chael gyflenwad llawn o staff wedi effeithio ar nifer yr archwiliadau sydd wedi eu cwblhau. Roedd adolygiadau o sut i weithio'n fwy effeithiol wrth symud ymlaen yn cael ei gynnal. Mae archwiliadau'n cael eu hadolygu ac mae'r drefn o gwblhau yn cael ei flaenoriaethu yn nhrefn pwysigrwydd.
- Mae archwilio Cynghorau Dinas, Tref a Chymuned yn fuddiol i'r awdurdod.
- Fe wnaeth Archwilio Cymru longyfarch archwiliad mewnol am y gwaith a gwblhawyd mewn ysgolion a chynghorau cymuned. Teimlid ei fod yn ddarn pwysig o waith.
- Gellid cynnwys y rhifau cyfeirio ar yr adroddiad.
- Mae nifer o ardaloedd yn dod o dan ardal y Gwasanaethau Ariannol fel y gyflogres a rheoli'r trysorlys.
- Roedd yr aelodau yn falch o nodi'r broses o adfer y gordaliadau a gafodd eu darganfod ar yr NFI wedi dechrau.
- Roedd swyddogion yn teimlo is-grŵp Partneriaeth Archwilio Gogledd a Chanolbarth Cymru lle bo hynny'n fuddiol iawn. Roedd yn caniatáu trafodaethau ar bosibiliadau a ffyrdd o atal twyll. Y gobaith oedd y byddai'r grŵp yn helpu i rannu profiadau ac arbenigedd.
- Roedd adolygiad o'r dogfennau canllaw ar gyfer rheoli prosiectau wedi cael ei gynnal. Rhoddwyd straen ar bwysigrwydd sefydlu byrddau yn gynnar iawn mewn prosiect.

Trefnwyd cadarnhad bod archwiliad arfaethedig o Grist y Gair Ysgol Gatholig yn Y Rhyl wedi ei drefnu yn dilyn adolygiad diweddar Estyn. Byddai archwiliad yn adolygu ac yn mynd drwy'r cynllun gweithredu sydd wedi ei gytuno gan yr adran Addysg.

PENDERFYNWYD hynny, mae'r aelodau'n nodi cynnydd a pherfformiad yr Archwiliad Mewnol.

10 RHAGLEN WAITH PWYLLGOR LLYWODRAETHU AC ARCHWILIO

Cyflwynwyd Rhaglen Gwaith i'r Dyfodol y Pwyllgor Llywodraethu ac Archwilio (a ddsbarthwyd eisoes) i'w hystyried.

Cadarnhaodd y Swyddog Monitro bod y pwyllgor yn gyfrifol am dderbyn yr adroddiad asesu panel blynyddol a'r adroddiad cwynion. Datganodd y byddai'n trafod gyda'r swyddogion perthnasol pryd fyddai orau i'r pwyllgor dderbyn yr adroddiadau.

Gofynnodd y Cadeirydd i unrhyw newidiadau a wneir i'r rhaglen gwaith i'r dyfodol cyn y cyfarfod gael eu hanfon ato ef.

Cadarnhaodd y Prif Archwilydd Mewnol y byddai adroddiad gan gynnwys adroddiadau archwilio, gan gynnwys adroddiadau rheoleiddio allanol, yn cael eu cyflwyno i'r Tîm Gweithredol Corfforaethol. Byddai'n cynnwys cynnydd yn erbyn unrhyw argymhellion. Cadarnhaodd y gallai rannu'r adroddiad ar sail gwybodaeth i aelodau.

Hysbysodd y Cadeirydd yr aelodau bod yr adroddiad Diogelwch Tân Blynyddol wedi'i drefnu ar gyfer cyfarfod pwyllgor mis Medi. Oherwydd bod y cyfarfod wedi cael ei aildrefnu, nid oedd swyddogion yn gallu mynychu ar y dyddiad newydd. Os oedd yr aelodau'n cytuno, byddai modd rhannu'r adroddiad gydag aelodau trwy e-bost. Cafodd yr aelodau eu hannog gan y Swyddog Monitro i godi unrhyw faterion gydag awdur yr adroddiad. Roedd yr aelodau i gyd yn cytuno derbyn yr adroddiad trwy e-bost.

Cadarnhaodd y Swyddog Monitro y byddai'r adroddiad blynyddol drafft yn cael ei gyflwyno i'r Pwyllgor i'w ystyried ym mis Tachwedd. Byddai swyddog yn paratoi adroddiad drafft er mwyn i'r pwyllgor gadarnhau eu bod yn cytuno â'r cynnwys cyn ei gyflwyno i'r Cyngor Llawn. Datganodd ei bod yn arfer safonol i Gadeirydd y Pwyllgor, ynghyd â'r Swyddog Arweiniol, gyflwyno'r adroddiad i'r Cyngor Sir.

Roedd yr Aelodau wedi cytuno cynnwys adroddiad am Gynllunio Recriwtio a Dargadw Gweithlu yn Ionawr 2023 ar y rhaglen gwaith i'r dyfodol. Cytunwyd hefyd y dylid cynnwys adroddiad gwybodaeth gan Nicola Stubbins am yr heriau wrth geisio recriwtio a dargadw mewn Gofal Cymdeithasol yng nghyfarfod mis Tachwedd.

PENDERFYNWYD, yn amodol ar gynnwys yr ychwanegiadau uchod, nodi cynnwys rhaglen gwaith i'r dyfodol y Pwyllgor Llywodraethu ac Archwilio.

ER GWYBODAETH

11 ADRODDIAD ESTYN INSPECTION - CRIST Y GAIR YSGOL GATHOLIG

Cyflwynodd y Cyfarwyddwr Corfforaethol: Llywodraethu a Busnes, Swyddog Monitro adroddiad Arolygu Estyn ar gyfer Crist y Gair Ysgol Gatholig (a gylchredwyd yn flaenorol).

Gofynnodd y Cadeirydd i gyfeiriad yr adroddiad ac a fyddai'r pwyllgor yn cael sicrwydd gan adroddiadau yn y dyfodol ar gynnydd y camau gweithredu.

Cafodd yr aelodau wybod bod yr adroddiad yn rhan o flaen y Rhaglen Waith Craffu Perfformiad i gael ei graffu. Byddai cynrychiolydd o GwE yn cael ei wahodd i'r cyfarfod hwnnw ynghyd â phennaeth addysg yr esgobaeth Gatholig, pennaeth yr

ysgol a Chadeirydd corff llywodraethol yr ysgol. Bydd y pwyllgor craffu yn cael a dadlau'r cynllun gweithredu ymateb ac yn sefydlu cynllun monitro rheolaidd.

Bydd y pwyllgor Llywodraethu ac Archwilio yn derbyn diweddariadau drwy waith Archwilio Mewnol ond pe baen nhw'n teimlo y gallai angen ffonio adroddiad yn ôl i'r pwyllgor. Fe gadarnhaodd y Prif Archwilydd Mewnol y byddai'n rhoi gwybod i'r pwyllgor yn dilyn adroddiadau Estyn yn y dyfodol a'i waith archwilio mewnol.

PENDERFYNWYD bod y pwyllgor Llywodraethu ac Archwilio yn nodi'r adroddiad gwybodaeth.

Daeth y cyfarfod i ben am 12.28 p.m.

Mae tudalen hwn yn fwriadol wag

Adroddiad i'r	Pwyllgor Llywodraethu ac Archwilio
Dyddiad y cyfarfod	23 Tachwedd, 2022
Aelod/Swyddog Arweiniol	Nicola Kneale, Pennaeth Gwella Busnes a Moderneiddio Dros Dro Y Cynghorydd Julie Matthews, Aelod Arweiniol Polisi, Cydraddoldeb a Strategaeth Gorfforaethol
Awdur yr Adroddiad	Iolo McGregor, Arweinydd Tîm Cynllunio Strategol a Pherfformiad ac Emma Horan, Swyddog Cynllunio Strategol a Pherfformiad
Teitl	Adolygiad o'r Gofrestr Risg Gorfforaethol, Medi 2022

1. Am beth mae'r adroddiad yn sôn?

- 1.1. Y wybodaeth ddiweddaraf am adolygiad mis Medi 2022 o'r Gofrestr Risg Gorfforaethol a'r Datganiad Parodrwydd i Dderbyn Risg.

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

- 2.1. Mae'r adroddiad hwn yn gofyn i Lywodraethu ac Archwilio adolygu'r risgiau sy'n wynebu'r cyngor (atodiad 1) a'n datganiad parodrwydd i dderbyn risg (atodiad 2).
- 2.2. Gofynnwn i'r pwyllgor ystyried os yw'n fodlon gyda rheoli risg yn y cyngor.

3. Beth yw'r Argymhellion?

- 3.1. Mae Llywodraethu ac Archwilio yn nodi'r risgiau, sgoriau a rheolaethau yn y Gofrestr Risgiau Gorfforaethol (atodiad 1), gan gynnwys statws bob risg yn erbyn ein Datganiad Parodrwydd i Dderbyn Risg (atodiad 2).
- 3.2. Mae'r pwyllgor yn ystyried y datganiad parodrwydd i dderbyn risg ac yn cael diweddariad ar lafar ar unrhyw newidiadau (atodiad 2).

4. Manylion yr adroddiad

- 4.1. Yr Uwch Dîm Arweinyddiaeth a'r Cabinet sydd yn datblygu ac yn berchen ar y Gofrestr Risg Gorfforaethol. Caiff ei hadolygu ddwywaith y flwyddyn gan y Cabinet yn ystod sesiwn frifio'r Cabinet.
- 4.2. Yn dilyn pob adolygiad, caiff y gofrestr ddiwygiedig ei chyflwyno i'r Pwyllgor Craffu Perfformiad a'i rhannu gyda Llywodraethu Corfforaethol.
- 4.3. Cynhaliwyd yr adolygiad diwethaf ym mis Chwefror 2020. [Mae'r papurau a gyflwynwyd i'r Pwyllgor Craffu Perfformiad ar gael ar-lein](#)
- 4.4. Defnyddiwyd dull parodrwydd i dderbyn risg y Cyngor yn y trafodaethau a gafwyd gyda pherchnogion risg, a chaiff ein lefel risg (yn seiliedig ar y sgôr) ei ddadansoddi o fewn y Gofrestr Risg Gorfforaethol (atodiad 1).
- 4.5. Yn ystod yr adolygiad diweddaraf hwn bu nifer o ddiweddariadau. Mae'r newidiadau hyn wedi cael eu gwneud i'r gofrestr risg ac wedi'u nodi ar ddechrau pob risg yn atodiad 1. I grynhoi (crynodeb yn atodiad 3), mae'r newidiadau mwyaf arwyddocaol yn cynnwys:
- Risg 01: Y risg o wall diogelu neu ymarfer difrifol, ble mae gan y cyngor gyfrifoldeb, gan olygu niwed difrifol neu farwolaeth, wedi cynyddu yn ei sgôr cynhenid (A1 - Risg Critigol Bron yn Sicr / Effaith uchel iawn) a'i sgôr gweddilliol (A1 - Risg Critigol Bron yn Sicr / effaith uchel iawn). Mae sgôr y risg wedi ei gynyddu ar sail ein hasesiad fod y siawns o hyn yn digwydd yn uwch ar hyn o bryd nag oedd yn flaenorol. Er nad ydym yn ystyried y tebygolrwydd fel "bron iawn yn sicr o ddigwydd yn y rhan fwyaf o amgylchiadau" (sef y diffiniad o Debygolrwydd Risg A yn ein methodoleg risg), mae'r risg yn sicr wedi cynyddu. Felly mae'n teimlo'n briodol i gynyddu'r sgôr Tebygolrwydd Risg, ac mae hynny'n golygu ei gynyddu o B i A. Mae cynyddu sgôr y risg yn galluogi'r risg i gael ei flaenoriaethu a'i uwchgyfeirio ymhellach, sy'n teimlo'n briodol ac yn angenrheidiol ar hyn o bryd.
 - Risg 12: Y risg o adroddiad(au) hynod o negyddol gan reoleiddwyr allanol. Mae sgôr y risg wedi cynyddu i C3 - Risg Cymedrol: Effaith Posib / Canolig.
 - Risg 36: Y risg bod yr amgylchedd economaidd ac ariannol yn gwaethygu y tu hwnt i ddisgwyliadau cyfredol, ac yn cael effaith niweidiol ar fusnesau lleol a chaledi economaidd i'r gymuned leol. Mae'r sgoriau risg cynhenid a gweddilliol wedi cynyddu.

- Risg 43: Y risg nad oes gan y cyngor y cronfeydd neu'r adnoddau i gwrdd â'i oblygiadau statudol o dan y Ddeddf Anghenion Dysgu Ychwanegol a'r Tribiwnlys Addysg (Cymru) 2018 Rydym yn cynnig dad-ddwysáu'r risg hwn iddo gael ei reoli gan y Gwasanaeth.
- Risg 44: Y risg o Glefyd Coed Ynn (ADB) yn Sir Ddinbych yn arwain at achosion iechyd a diogelwch sylweddol sydd yn cynrychioli risg posib i fywyd. Perchennog y risg erbyn hyn yw Pennaeth Cynllunio, Gwarchod y Cyhoedd a Gwasanaethau Cefn Gwlad Ar sail gwell gwybodaeth, mae sgoriau risg cynhenid a gweddilliol wedi gostwng (ond yn parhau y tu hwnt i'n parodrwydd i dderbyn risg).
- Risg 47: Y risg y bydd Cyd-bwyllgor Corfforedig newydd Gogledd Cymru yn golygu y bydd y cyngor yn cael llai o ddylanwad a rheolaeth ar lefel leol. Rydym yn cynnig dad-ddwysáu'r risg hwn iddo gael ei reoli gan Wasanaeth(au).

4.6 Dylid nodi fod y Tîm Gweithredol Corfforaethol wedi cynnal adolygiad o Risg 01: Diogelu (17 Hydref 2022).¹ Bydd y Tîm Gweithredol Corfforaethol yn adolygu'r risg hwn yn fisol, a bydd y Cabinet yn ystyried sut y bydd yn adolygu'r risg yn ei gyfarfod briffio nesaf ar 14 Tachwedd, 2022.

4.7 Parodrwydd i dderbyn risg

- Yn bresennol mae risgiau 1, 6, 13, 18, 21, 27, 33, 34, 36, 44, a 45 yn anghyson â Datganiad Parodrwydd i Dderbyn Risg y Cyngor (atodiad 2).
- Gan ddileu risgiau 43 a 47 ar y sail y cynigir eu tynnu, mae gennym gyfanswm o 20 risg ac 11 sy'n anghyson â'n parodrwydd i dderbyn risg (55%). Roedd ein hadolygiad Chwefror 2022 yn cynnwys 22 risg ac roedd 14 yn anghyson gyda'n parodrwydd i dderbyn risg (64%).

4.8 Datganiad Parodrwydd i dderbyn risg

- Cafodd datganiad parodrwydd i dderbyn risg y cyngor (crynodeb) yn atodiad 2 a [datganiad llawn yma](#) ei adolygu ddiwethaf ym Medi 2020.

¹ Bu i ni hefyd argymhell ychwanegu risgiau economaidd mewn perthynas â chyllid y cyngor (risg 6) a busnesau a'r gymuned (risg 36) i raglen gwaith i'r dyfodol y Tîm Gweithredol Corfforaethol.

- Bydd y datganiad yn cael ei adolygu, gan y Cabinet, ar 14 Tachwedd (ar ôl y dyddiad y cyflwynwyd yr adroddiad hwn). Mae'r adolygiad hwn yn amserol, o ystyried fod gennym gyngor a chynllun corfforaethol newydd.
- Dylai'r datganiad adlewyrchu ein parodrwydd nawr mewn byd ôl pandemig, ôl Brexit, ble mae costau cynyddol a rhagolygon economaidd ansicr yn cyflwyno heriau i ni wrth ddarparu gwasanaethau a phrosiectau, ac yn bygwth canlyniadau a rennir o ran annibyniaeth a chadernid personol a chymunedol.
- Tynnwn sylw arbennig at ein parodrwydd i dderbyn risg agored presennol mewn perthynas â phrosiectau ariannol, a allai fod yn briodol o ystyried pwysau ariannol cynyddol.
- Ein parodrwydd i dderbyn risg minimol mewn perthynas â Gweithlu: Telerau ac Amodau (gweler atodiad 2 neu pp.36-38 [yma](#)) cynigir eu bod yn cael eu haddasu i barodrwydd i dderbyn risg gofalus, i adlewyrchu'r ffordd rydym yn 'addasu' prosesau recriwtio - mewn ffordd ddiogel - i leddfu heriau o ran llenwi swyddi.
- Bydd y Cabinet yn ystyried y datganiad parodrwydd i dderbyn risg ar 14 Tachwedd, 2022 a byddwn yn rhoi diweddariad ar lafar ar y trafodaethau hynny yng nghyfarfod Pwyllgor Llywodraethu ac Archwilio ar 23 Tachwedd.

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

- 5.1. Diben y Gofrestr Risg Gorfforaethol yw amlygu digwyddiadau posibl yn y dyfodol a allai gael effaith niweidiol ar allu'r cyngor i gyflawni ei amcanion, gan gynnwys ei flaenoriaethau corfforaethol. Mae'r camau rheoli a gweithredu a amlygir felly'n hanfodol ar gyfer cyflawni'r blaenoriaethau corfforaethol.

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

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

7. Beth yw prif gasgliadau'r Asesiad o'r Effaith ar Les?

- 7.1. Mae'r Gofrestr Risg Gorfforaethol yn dogfennu risgiau sydd wedi'u canfod, a'r camau lliniaru. Nid yw'r broses o ddatblygu ac adolygu'r ddogfen ei hun yn cael effaith niweidiol ar unrhyw un o'r nodau lles. Fodd bynnag, dylid asesu effaith ar les ar gyfer

unrhyw broses, strategaeth neu bolisi newydd sy'n cael eu llunio o ganlyniad i gam lliniaru.

8. Pa ymgynghoriadau sydd wedi'u cynnal gyda Chraffu ac eraill?

- 8.1. Cynhaliwyd trafodaethau unigol gyda Pherchnogion Risg (Prif Swyddog Gweithredol, Cyfarwyddwyr Corfforaethol, Penaethiaid Gwasanaeth perthnasol) gan gynnwys mewnbwn gan swyddogion sy'n arwain ar gamau pellach er enghraifft. Cyflwynwyd adroddiad i'r Tîm Gweithredol Corfforaethol.
- 8.2. Ceir trafodaeth wedyn am y gofrestr gyda'r Tîm Gweithredol Corfforaethol, Uwch Dîm Arweinyddiaeth a'r Cabinet i gytuno a/ neu wneud diwygiadau pellach.
- 8.3. Bydd Craffu Perfformiad yn edrych ar yr adolygiad risg mis Medi hwn ar 24 Tachwedd, 2022.

9. Datganiad y Prif Swyddog Cyllid

- 9.1. Nid oes unrhyw oblygiadau ariannol yn codi wrth ddatblygu, monitro ac adolygu'r Gofrestr Risg Gorfforaethol.

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

- 10.1. Nid oes unrhyw risgiau yn gysylltiedig â'r adolygiad hwn.

11. Pŵer i wneud y penderfyniad

- 11.1. Deddf Llywodraeth Leol 2000
- 11.2. Mae Cyfansoddiad y Cyngor yn amlinellu swyddogaethau a chyfrifoldebau uwch swyddogion ac yn nodi bod rhaid i weithdrefnau a phrosesau clir fod yn eu lle i reoli risg yn effeithiol.

Mae tudalen hwn yn fwriadol wag

Corporate Risk Register (September 2022)

Changes are summarised under each risk title summary.

Risk 01: The risk of a serious safeguarding or practice error, where the council has responsibility, resulting in serious harm or death

Lead Member(s): Councillor Gill German and Councillor Elen Heaton

Risk Owner: Nicola Stubbins

September update:

The title has been updated to include 'practice error' (previously 'The risk of a serious safeguarding error, where the council has responsibility, resulting in serious harm or death'). The description and controls have been updated.

The inherent score has increased to reflect the pressures the council is facing and the impacts of changes in the external environment (these are set out in the description). The inherent score has increased from B2 – Critical Risk: Likely / High Impact to A1 – Critical Risk Almost certain / Very high impact. The residual score has increased from D2 – Major Risk: Unlikely / High Impact to A1 – Critical Risk Almost certain / Very high impact.

The risk score has been increased on the basis of our assessment that the chance of this occurring is currently higher than it was previously. Although we do not regard the likelihood as "almost certain to occur in most circumstances" (which is the definition of Risk Likelihood A in our risk methodology), the risk has certainly increased. It therefore feels appropriate to increase the Risk Likelihood score, and that means increasing it from B to A. Increasing the risk score enables the risk to be further prioritised and escalated, which feels appropriate and necessary at this time.

Corporate Risk Register (September 2022)

The impact has been increased because we know the risk is higher in terms of likelihood and despite our controls, we are at the limits of what can be done to reduce the likelihood of the risk. The risk is beyond our appetite.

An actions log is in development to support monthly reviews of the risk and our management by CET. A draft actions log is included for information.

Description

This risk - concerning children and adults at risk - is increasing as the environment is changing, with growing expectations around our duties in relation to third party provision. The cumulative impact of recruitment and retention issues in social care is significantly impacting on the council's ability to deliver statutory social care functions. As at September 2022, we are deeply concerned that a death could occur as a result of insufficient staffing resources.

There is a national recruitment and retention crisis in social care (see also [risk 48](#)). Social care frequently loses staff due to the superior pay and conditions offered by recruitment agencies, other local authorities and the health board, often for similar but less demanding roles. Our services are often only able to replace experienced staff with newly qualified or inexperienced workers that require significant support and are unable to independently work with the increasingly complex cases referred to the service. Many new starters are younger, newly qualified staff and rates of maternity leave in some teams are high.

There were already reported shortages in social care and health sector. However, an impact of Covid-19 is a significant movement of the workforce away from social care and health. As described above, fewer social workers are entering the profession than are leaving. The market is extremely competitive and there is no national pay structure in place in the sector (like there is for education). Other employers offer more competitive and attractive packages that the council cannot compete with.

At the same time, caseloads are becoming more complex and are increasing. There is a risk of people not being supported, or not being seen with the right intensity.

Corporate Risk Register (September 2022)

Recruitment and retention challenges, together with more demanding cases and workloads, are impacting social care services' ability to deliver its statutory responsibilities; are placing increased pressure on remaining staff in the teams, negatively impacting their well-being and increasing levels of unplanned absence.

Failure of social care services to deliver its statutory responsibilities could result in:

- Death, injury or neglect to vulnerable citizens and their carers
- Legal challenge
- Financial damage
- Reputational damage
- Sanction by Regulatory Body

Anticipated direction of travel:

This has been a static risk that consistently features in our corporate risk register. However, the impact of Covid-19, the continued pressures with recruitment and retention, the deterioration in the economy and the pressures people are facing, have all escalated this risk in terms of its inherent and residual risk scores. We will ensure continued extremely close management at the most senior operational, corporate and political levels of the council, and we continue to raise this risk at a national level.

Impact / Consequences

- Individual(s) experience significant harm or death.
- Significant reputational loss.
- Possible intervention by Welsh Government or Care Inspectorate Wales.
- Legal/compensation costs.
- Poor staff well-being and sickness

Inherent Risk

A1 – Critical Risk Almost certain / Very high impact

Corporate Risk Register (September 2022)

Controls to Manage Risk (in place)

In addition to the controls listed further below, CET has introduced a key actions log to aid monthly risk reviews. Please note this log is in draft.

Level	Action	Owner(s)	Latest update (narrative and date)
Operational	Line managers to closely manage staff and their workloads to ensure staff morale and health and well-being	Ann Lloyd, Interim Head of Service, Business Support Services David Soley, Interim Head of Service, Operational Services Rhian Morrle, Head of Children Services	
	Weekly meetings between line and middle managers and Heads of Service	Ann Lloyd, Interim Head of Service, Business Support Services David Soley, Interim Head of Service, Operational Services Rhian Morrle, Head of Children Services	

Corporate Risk Register (September 2022)

<p>Operational</p>	<p>Operational decisions are informed by a risk-based assessment on a daily basis, prioritising for example, child protection</p>	<p>Ann Lloyd, Interim Head of Service, Business Support Services</p> <p>David Soley, Interim Head of Service, Operational Services</p> <p>Rhiain Morrllle, Head of Children Services</p>	
<p>Corporate</p>	<p>Safeguarding to be a standing item on CET agendas whereby this log and the risk register is to be reviewed every month</p>	<p>Nicola Stubbins, Corporate Director</p>	
<p>Corporate</p>	<p>Deliver actions of the Recruitment in Social Care Group</p>	<p>Nicola Stubbins, Corporate Director</p>	
<p>Political</p>	<p>Heads of Service to discuss safeguarding and recruitment and retention at their regularly 121 meetings with their Lead Members</p>	<p>All Heads of Service</p>	

Corporate Risk Register (September 2022)

Political	Cabinet at Cabinet briefing to review the risk register and the actions log every two months (agenda item or part of 'state of the nation'- TBC)	Councillor Gill German and Councillor Elen Heaton	
Political	Work with Welsh Government and WLGA, and other national bodies, to address issues we are unable to tackle at a local level, eg a national pay structure for social workers	Nicola Stubbins, Corporate Director	

Critical controls:

- Risk focus session for CET took place (October 17, 2022) urgently following the escalation of this risk and discussion at CET on October 13, 2022. CET agreed to develop a key actions log, which it will review every month. The log contains critical operational, strategic and political actions the council is undertaking to manage this risk.
- [Governance and Audit Committee received a report on October 4, 2022](#), about a Care Inspectorate Wales inspection. The report highlighted recruitment and retention challenges and the Committee was reassured that safeguarding was being managed as a critical risk on the council's corporate risk register and that steps were being taken to try to alleviate the situation.
- Meetings with Welsh Government have taken place to discuss the extent of our concerns and how the risk has escalated. We are having internal meetings involving

Corporate Risk Register (September 2022)

CET, and with the Leader and lead members. There has been some future movement on a draft memorandum, which is being led by Social Care Wales.

- Ongoing discussions with HR are taking place and we are taking action as part of our efforts to resolve recruitment and retention issues in social care and health and more widely across council service ([see also controls for the recruitment and retention risk 48](#)). A new group has been established looking at recruitment issues in social care. This is chaired by Nicola Stubbins, who escalates issues, when appropriate, to CET. An action plan has been developed and is being delivered for social care workers. This includes a review of career grades. A new recruitment specialist has been created to support the delivery of the project plan.
- The Corporate Director presented the situation to the WLGA in September 2022. WLGA is gaining momentum in its work to support local authorities on this.
- We have a statutory responsibility for safeguarding and the operational delivery of our statutory functions, alongside our partners', are our critical controls to mitigate the risk. Other services, and our wider corporate response, is about understanding and awareness so that people know what to do if and when they have concerns about a person or family's welfare.

Ancillary controls (*newest first*):

- We have asked other councils in North Wales how they are evaluating and managing any safeguarding risks on their corporate risk registers.
- We have responded to a Welsh Government call for evidence regarding independent schools' legislation and guidance in Wales. Some of the proposed changes to safeguarding are a direct result of issues and concerns raised by Denbighshire County Council.
- The North Wales Safeguarding Children Board Local Delivery Group, developed by Denbighshire, has been recognised as good practice.
- The Corporate Parenting Forum continues to progress well and is well attended.
- Managers ensure the Communications Team is fully briefed, as early as possible, on any situation that may cause significant reputational loss. The Communications Team manage media and public relations and internal communications on the matter.

Corporate Risk Register (September 2022)

- Safeguarding policy and procedures are in place. The Corporate Safeguarding Policy has been reviewed and updated in line with new legislation.
- Corporate Safeguarding Training Programme.
- Framework of self-assessment for schools in relation to safeguarding has been established.
- Section 28 audit tool in place for voluntary sector to ensure safeguarding practices are in place.
- Compliance with safeguarding practises is part of the annual HR audit of schools.
- Regional arrangements for safeguarding a) children and b) adults at risk are in place. The regional safeguarding boards set priorities and actions regionally, e.g. training and policies & procedures. This includes, for example, working in partnership with North Wales Police on such issues as County Lines.
- Risk assessments in place for recruiting staff who require a DBS check and/or references and this is monitored and scrutinised by the Corporate Safeguarding Panel.
- Safeguarding policy review has taken place with Schools and new guidance has been developed
- Key posts within the Council that could have an impact on safeguarding have been identified and Heads of Service are reviewing the posts to ensure that adequate checks are undertaken by the Council or and external body. All new employee contracts make reference to safeguarding.
- Corporate Safeguarding Panel has been reviewed including the terms of reference, roles and responsibilities.
- Heads of Service have been asked to ensure they consider safeguarding when reviewing their risk registers and that safeguarding be included in service challenge where appropriate.
- Briefing sessions on safeguarding and Child Sexual Exploitation have been delivered to County Council. Safeguarding features in three Cabinet Members' portfolios.
- Improvements have been made to safeguarding arrangements with contractors including (i) DBS contract checks, (ii) ensuring that Council staff responsible on site for the contractor and managing the tendering / contract process are clear of their

Corporate Risk Register (September 2022)

responsibilities in respect of safeguarding, (iii) ensuring contracts terms and conditions (including JCT) in relation to DBS checks are appropriate, (iv) ensuring that self-assessment arrangements as part of contract management are appropriate.

- Safeguarding e-learning module in place and compliance is monitored and scrutinised by the Corporate Safeguarding Panel.
- Recording and sharing safeguarding incidents and near misses is a standing item of the Corporate Safeguarding Panel. It also shares case reviews where there is a corporate perspective for lessons learned. Service representatives are responsible for reporting any key messages from panel meetings to members of staff within their services.
- Adoption of new Wales Safeguarding Procedures.

Relevant indicators of the effectiveness of controls:

- SHR102m: The percentage of eligible staff that have an up-to-date DBS (DCC)
- SHR103m: The percentage of eligible staff that have an up-to-date reference check or risk assessment (DCC)
- SHR104m: The percentage of eligible staff that have an up-to-date DBS (schools)
- SHR105m: The percentage of eligible staff that have an up-to-date reference check or risk assessment (schools)
- LHRD47i: Percentage of employees that have completed all 9 mandatory e-learning modules by the end of the year

Assurance:

- A report about recruitment and retention will be presented to Governance and Audit Committee in November 2022.
- A review of recruitment and retention will be undertaken by Internal Audit during January and March 2023.
- A follow up inspection “Assurance Check” was undertaken in Denbighshire by the Care Inspectorate Wales between June and July 2021. The follow up inspection highlighted improvements in safeguarding as well as some areas for further

Corporate Risk Register (September 2022)

development. A report taken to [Governance and Audit Committee](#) on October 4, 2022.

- The North Wales Safeguarding Children Board Local Delivery Group, developed by Denbighshire, has been recognised as good practice.

Residual Risk

A1 – Critical Risk Almost certain / Very high impact

Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

Critical risk. Risk Appetite suggests that this should be at most a minor risk. The Risk Owner has confirmed that the scoring accurately reflects the current risk to the council.

Corporate Risk Register (September 2022)

Risk 06: The risk that the economic and financial environment worsens beyond current expectations, leading to additional demand on services and reduced income.

Lead Member(s): Councillor Gwyneth Ellis

Risk Owner: Steve Gadd

September update:

The description, anticipated direction of travel and controls sections have been updated.

The action to “Gain approval the medium term capital strategy” has been extended to 31/12/2022.

A thorough consideration of this risk in light of recent economic events, and uncertainty over short to medium term projections, has taken place. The risk score has not changed.

Description

The Local Government Settlement for 2022 to 2023 included indicative average settlement increases of 3.5% for 2023 to 2024 and 2.4% for 2024 to 2025 (estimated DCC figures would 3.3% and 2.2%). Although this was very welcome from a planning perspective it does indicate that difficult decisions will be required over the coming years. Since then however there have been a growing list of significant economic and demand pressures related to inflation (e.g. pay, energy), social care, waste budgets, benefits, the supply of goods and services in the supply chain (and the impact on our capital plan).

The economy has suffered several shocks in recent years. Leaving the European Union, Covid-19, war in Ukraine and increases in cost of living. Recent economic sanctions imposed on Russia have added further tension to the global economy. Cost of fuel, goods and services have increased and led to concerns around the level of inflation in the UK, prompting The Bank of England to increase base rates and predictions currently expect this trend to continue. Higher, or increasing, interest rates will place mounting pressure on businesses and communities across Denbighshire.

Corporate Risk Register (September 2022)

The current projections of pressures indicate that pressures of £19m at least in each of the next two years will require funding. Even after taking into account an annual Council Tax increase of 3.8%, and the indicative RSG settlements eluded to above, shortfalls remain in excess of £8-9m in each year. Similar pressures are being experienced by other Welsh local authorities.

Supply of goods and services include:

- Labour shortages and vacancies across sectors leading to delays
- Fuel costs, commodity (including food) supply and price increases (including in transport and freight, and in relation to supply of goods)

According to the Local Government EU Advisory Panel, which last met in January 2022, business operations are trying to adapt to the new situation and will probably face changes for the foreseeable future.

These pressures are all monitored closely and regularly by senior managers, including the Section 151 Officer.

What is more, increases to the cost of living is becoming an increasing risk to the council, whereby our capacity to support people struggling with the cost of living may be limited or people may make decisions about how they allocate their household budget, prioritising rent or mortgage over council tax, for example.

Anticipated direction of travel:

We have some control around the impact of this risk but not the likelihood of it occurring. The outlook has deteriorated significantly over the last six months, worsening over the last few weeks. The outlook for public bodies has worsened very recently, and we are expecting a return to austerity - at least in the near term. We continue to work closely with the WLGA and Welsh Government to ensure everyone is aware of the situation.

Corporate Risk Register (September 2022)

Impact / Consequences

- The council suffers from a significant reduction in income, leading to an inability to deliver current levels of service provision.
- The council experiences increased costs.
- The council's ambition and the scope of projects and programmes are curtailed due to increased costs.
- Increases in cost of living leads to reduced income for the council, eg reduced council tax.

Inherent Risk

B1 – Critical Risk: Likely / Very High Impact

Controls to Manage Risk (in place)

The council has no control over the global economy or the WG settlement. Therefore, the inherent and residual risk scores are likely to remain high.

Critical controls (newest first):

- The new Lead Member has agreed the continuation of existing financial management processes, which include the operation of the Budget Board.
- Our level of financial reserves are kept at a sensible level so that shocks to economy can be dealt with.
- The collaborative approach to partnership working and sharing lessons learned during the Covid-19 pandemic (with Welsh Government and the Welsh Local Government Association) has been mutually beneficial and we hope that this same approach could be established should we experience further economic shocks in the future. Working collaboratively, pan Wales, has been an effective way to develop solutions.
- The Section 151 Officer reports regularly to the Budget Board. We are continuing to implement the capital contingency budget, and seek approvals from the Budget Board.

Corporate Risk Register (September 2022)

- The new budget process worked well last year and continues to be the model we use to deliver a balanced budget. It aims to capture 'small' scale budget flaws (under £100k), identify key strategic budget pressures (over £100k) and aims to ensure a full picture of pressures can be considered in a timely manner and are managed more closely.
- We try to reduce the likelihood of this risk occurring, where we can, for example through individual, regional, national lobbying and through other meetings/fora.
- Annual, detailed budget setting process that considers economic environment
- The Medium Term Financial Plan (MTFP) contains different scenarios to ensure it can deal with changes in the external environment, and is considered on a quarterly basis: it has revised its expectations further downwards. Also considered in annual budgets and a range of proposals could be implemented should cuts be incurred.
- A robust budget-setting process raises awareness of implications of significantly reduced income due to the economic environment. It also identifies a range of proposals should cuts be incurred.
- Regular (usually monthly) financial planning meetings between services and management accountants are in place.
- Services routinely monitor supply issues and cost increases.
- The Procurement Team supports services to ensure value for money and explore collaborative procurement where that may be a possibility.
- Service's budgets and budget proposals are scrutinised by the Lead Member for Finance and the Head of Service during budget-setting talks.

Ancillary controls (*newest first*):

- Managers ensure the Communications Team is fully briefed, as early as possible, on any situation that may cause significant reputational loss. The Communications Team manage media and public relations and internal communications on the matter.
- We provide clear communications around financial challenges and the budget process to Members and we try to ensure our residents are informed about how the council is funded and spends its funds.

Corporate Risk Register (September 2022)

Relevant indicators of the effectiveness of controls: The Head of Finance and Property's service plan includes key performance indicators that are associated with effective management of this risk and he provides a monthly budget report to Cabinet.

- FAH201m The % of required efficiency savings identified for next year (Quarterly)
- FAH202m The % of required efficiency savings achieved for this year (Quarterly)
- Council reserves (£k)

Assurance:

- Risk Management Internal Audit Review 2021
- Capital Management Internal Audit Review 2021
- High level coverage in Project Management Internal Audit Reviews
- Audit Wales – Financial Sustainability Assessment 2020-21

Residual Risk

B2 – Critical Risk: Likely / High Impact

Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

Critical risk. Risk Appetite suggests that this should be at most a moderate risk. The Risk Owner has confirmed that they are comfortable that the scoring accurately reflects the current risk to the council.

Further Actions

1. **Gain approval the medium term capital strategy**
2. **Action Due Date: 31/12/2022**

Person Responsible: Steve Gadd

Corporate Risk Register (September 2022)

Risk 11: The risk of an ineffective response to a serious event, such as severe weather, contamination, public safety, cyber-attack, or a public health event (such as Covid-19).

Lead Member(s): Councillor Barry Mellor, Councillor Julie Matthews and Councillor Win Mullen-James

Risk Owner: Graham Boase

September update:

Description and controls have been updated.

The risk score has not changed.

Description

Serious unexpected events can occur at any time.

Services plan for the impact of expected seasonal variations in weather, but severe weather events, including extreme heat, wild fires as well as flooding, can impact on public safety and service delivery.

Similarly, we put plans in place to monitor food, water and air quality, but any contaminations can impact on service delivery, as would any viral pandemics.

Cyber-attacks can affect our ability to provide services electronically, putting our business continuity plans to the test, and the same applies to major IT service failures. The risk of cyber-attack has very recently increased due to war in Ukraine, with increased potential for infiltration resulting in destabilisation. Across the UK, since March 1, 2022, we have been on a heightened level of alert in relation to cyber-attack.

In terms of terrorism, the current national threat level to the UK (England, Wales, Scotland and Northern Ireland) from terrorism is “substantial”.

Corporate Risk Register (September 2022)

Public health events, such as Covid-19, put terrific strain on organisations such as ours, impacting on service delivery, project timescales, staff capacity, and of course finances. It also challenges the resource capacity of partners and providers that we work with.

Our approach to this risk is to avoid the risk or minimise the impact of the risk should it occur in the first instance, and this is supported through, for example, adherence to Public Sector IT standards, or flooding management schemes.

Anticipated direction of travel:

We expect this to be a static risk that consistently features in our corporate risk register. This ensures continued close management at the most senior operational, corporate and political levels of the council. We will closely monitor this risk in relation to events in the Ukraine, together with our usual approach to managing severe weather, and should there need to be further management of Covid-19. We will review the risk once the new emergency planning response review, which will identify the council's senior responsible officer for emergency planning, is complete.

Impact / Consequences

- Significant disruption to core services.
- Serious injury or fatality due to road network closure, poisoning or infection.
- Reputational risk to the council if unable to deal with issues.
- Inability to deliver front line services (as a result of staff shortages for example).
- Temporary loss of data.
- Significant cost pressures to our budget.

Inherent Risk

A2 – Critical Risk: Almost Certain / High Impact

Controls to Manage Risk (in place)

Critical controls (newest first):

Corporate Risk Register (September 2022)

- We are reviewing emergency planning alongside our senior leadership restructure. This will identify the council's senior responsible officer for emergency planning going forward. In the meantime, the Corporate Director: Economy and Environment chairs meetings of all the chairs of various response groups in emergency planning and is also attended by regional emergency planning representatives. The purpose of this group includes to provide assurance that systems are in place and to test procedures.
- We undertake regular reviews to ensure ICT systems are secure, including making updates to our Firewall.
- ICT receives time critical updates from central bodies such as the National Cyber Security Centre.
- We work to strict public sector ICT standards and have Service business continuity plans in place.
- A report with a proposal to review our emergency planning response structure/processes was considered by the Strategic Emergency Management Team and SLT in September 2021.
- Covid-19 Control: SEMT met on a regular basis and responded to the initial Covid-19 emergency. Covid-19 strategic management controls are have been stepped down.
- A report went to SLT in the Autumn 2021 to review lessons learned from our response to Covid-19, from an emergency planning perspective.
- The control environment in this area is the Regional Emergency Planning Service (Wrexham, Flintshire, Denbighshire, Conwy, Gwynedd and Anglesey), and local emergency management response groups have been established. There is significant partnership working with a regional emergency planning team coordinating plans and responses across North Wales.
- We also continually review our procedures for winter highways maintenance and flood response. Secondary rota established and operational.
- Service disruption is minimised through our arrangements for business continuity and emergency planning, with separate Directors responsible for Response and Recovery.
- There's an emergency on-call rota in place.

Corporate Risk Register (September 2022)

- Vulnerable people mapping tool is in operation.
- Planning and Public Protection has plans in place to manage responses to pandemics such as bird flu or foot and mouth for instance, with a focus on how we will work with partners in such times.
- We have set up a WhatsApp Business Continuity communication network, which has been tested in an internal council Business Continuity exercise (April 2019).

Ancillary controls (*newest first*):

- Managers ensure the Communications Team is fully briefed, as early as possible, on any situation that may cause significant reputational loss. The Communications Team manage media and public relations and internal communications on the matter.
- An annual Emergency Planning Response report is taken to SLT, the Lead Member and Partnerships Scrutiny, as requested, every year.
- New chairs for the Communications and Operational Response Groups have strengthened arrangements.
- Gold & Silver training in place for new representatives.
- Deputies for Chairs of response teams appointed.
- Trial business continuity exercise took place in the council in October 2017. Overall the exercise was successful.

Relevant indicators of the effectiveness of controls:

- FINPROPHS1001: RIDDOR accident rate (National measure – No. of RIDDOR x 100,000 / No. of FTE employees)
- BIM208i: Denbighshire County Council achieves Public Services Network (PSN) security Standard compliance (0 = pass; 1 = fail)

Qualitative indicators:

- Production, and where needed implementation of, Service business continuity plans
- Establishment, uptake and effectiveness of emergency rest centres.

Corporate Risk Register (September 2022)

(Please note: some of these indicators are only measured should a serious event occur)

Residual Risk

C3 – Moderate Risk: Possible / Medium Impact

Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

Yes

Corporate Risk Register (September 2022)

Risk 12: The risk of a significantly negative report(s) from external regulators.

Lead Member(s): Councillor Gwyneth Ellis and Councillor Jason McLellan

Risk Owner: Nicola Stubbins

September update:

The description and controls have been updated.

The risk score has increased from D3 – Moderate Risk: Unlikely / Medium Impact to C3 – Moderate Risk: Possible / Medium Impact. This increase in likelihood is as a result of increased risks elsewhere (such as [risk 01](#)), and the anticipated critical feedback the social care and health sector across Wales, is likely to receive in coming months.

Description

Negative reports from regulators could lead to a range of impacts that could be negative for Denbighshire County Council. The council is committed, however, to responding to reports and working with partners, including external regulators, to addressing any concerns that may arise.

Our relationships with external regulators are very important. We need mutual confidence in our relationships to ensure the best possible outcomes in terms of service improvement and shared learning. We ensure we alert external regulators to issues that may be becoming problematic early on, and we work closely with them on programmes of work to share learning more widely.

Most recently, a follow up inspection “Assurance Check” was undertaken in Denbighshire by the Care Inspectorate Wales between June and July 2021. The follow up inspection highlighted improvements in safeguarding as well as some areas for further development. The interim management arrangements in Education and Children’s Services - noted as an issue - have since been settled. However, we now have two interim head of service leads in Community Support Service. The Council is aware of the need for stable and

Corporate Risk Register (September 2022)

consistent management and it is being managed closely. A report was due to be taken to [Governance and Audit Committee](#) on September 21, 2022, but has been cancelled while public meetings cease during a period of national mourning. The meeting will be rescheduled.

A further piece of work, this time focussed on children's services highlighted some issues, such as - once again - recruitment. CiW is currently undertaking a national study of child placements in unregulated settings. We will likely have an update on this in our next report.

A paper about Audit Wales's report about commissioning older people's care homes has been presented to Governance and Audit Committee. This was a national study that included a review of regional arrangements, including in North Wales.

Anticipated direction of travel:

The score has been considered in relation to current performance and is felt to be accurate. The current position is generally positive. We expect this risk to always feature in our corporate risk register, but one that may increase or decrease in line with other factors. This risk will continue to be reviewed regularly to ensure all necessary controls are effective and operating as they should be.

Impact / Consequences

- A wider lack of confidence in council services.
- Reputational damage.
- Potential intervention by the WG.
- Significant resources may be required to be diverted to deliver immediate and substantial change.

Inherent Risk

C2 – Major Risk: Possible / High Impact

Corporate Risk Register (September 2022)

Controls to Manage Risk (in place)

Regulation we are subject to includes: CIW (Care Inspectorate Wales); WAO Office; Estyn; HSE (Health & Safety Executive); ICO (Information Commissioner's Office). Information, studies and other reports are also published by other commissioners such as the Welsh Language Commissioner for Wales or the Older People's Commissioner for Wales.

Critical controls:

- Relationship management and ongoing communication with external regulators.
- The corporate performance management framework (PMF) is the main control in this area.
- Interim Head of Business Improvement & Modernisation, Strategic Planning Team Manager and Head of Audit meet monthly with Wales Audit Office to understand and respond to their concerns.
- Regulators sit on Service Performance Challenges.
- Protocol developed for addressing recommendations from WAO national studies: services' response will be the subject of performance scrutiny and service challenge.

Ancillary controls (newest first):

- Managers ensure the Communications Team is fully briefed, as early as possible, on any situation that may cause significant reputational loss. The Communications Team manage media and public relations and internal communications on the matter.
- Annual Governance Statement and Performance Self-Assessment are aligned.

Relevant indicator of the effectiveness of controls:

- CH012i: The number of negative reports from external regulators

Assurance:

Corporate Risk Register (September 2022)

- See the [description](#) for a detailed update on assurance reports.
- Internal Audit reviews forward work programme
- External regulatory bodies. For example, CIW monitor progress through routine performance review activities and through a CIW local authority risk based approach to inspection planning. CiW is currently undertaking a national study of child placements in unregulated settings.

Residual Risk

C3 – Moderate Risk: Possible / Medium Impact

Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

Yes

Corporate Risk Register (September 2022)

Risk 13: The risk of significant liabilities resulting from alternative models of service delivery

Lead Member(s): Councillor Julie Matthews

Risk Owner: Steve Gadd

September update:

The description and controls have been updated.

The risk score has not changed.

Description

We have a small number of alternative service delivery models (ASDMs) in place currently, for example revenues and benefits and leisure.

Liabilities could arise due to financial, HR, safeguarding, or governance problems and could impact on the sustainability of service provision.

This risk was impacted by Covid-19 but Welsh Government provided significant financial support during Covid-19 restrictions to cover the significant loss of income (the income loss would have occurred regardless of the establishment of the ASDM). The year 2022 to 2023 will be the first year of Denbighshire Leisure Limited functioning without Covid-19 restrictions (at least none are anticipated as at September 2022).

Civica will be moved back in-house from late autumn 2022.

Anticipated direction of travel:

Any income losses between 2021 and 2022 were been covered by the Covid-19 grant from Welsh Government. The year 2022 to 2023 will be the first year of Denbighshire Leisure Limited functioning without Covid-19 restrictions (at least none are anticipated as at September 2022). The risk will continue to be monitored but no significant issues have been raised so far.

Corporate Risk Register (September 2022)

Impact / Consequences

- Financial liabilities.
- Property Liabilities.
- Reduction in levels / quality of service provided to the community, or increased revenue costs to continue delivery.
- Collapse of company
- Reputation damage to the council
- Safeguarding to include protection of all assets (physical & intellectual Information)

Inherent Risk

B2 – Critical Risk: Likely / High Impact

Controls to Manage Risk (in place)

Critical controls (newest first):

- The contract management framework that is being developed will distinguish between the types of contract and the management arrangements that are needed.
- The framework will support officers to evaluate the risk of the contract to ensure effective monitoring and management is in place. CET has requested to look at contract management in more detail.
- We do have a contingency budget, should we need it.
- There is robust project governance in place for Civica (managed as a project using Verto) and plans to bring the service back into house, which would also achieve some savings, have been approved in principle by Cabinet.
- Covid-19: Financial support and/or subsidies are being provided by Welsh Government.
- A rigorous process is in place to ensure appropriate governance arrangements are in place as ASDMs are established.

Corporate Risk Register (September 2022)

- Effective contract management arrangements are in place and appropriate monitoring is carried out throughout the life of the contract, including to ensure compliance with current legislation and approved accredited standards as appropriate.
- Council is entitled to representation on Boards, and Heads of Service providing strategic advice to facilities.
- Intervention measures are exercised by the council if relationships with arm's length organisations are difficult to manage.
- Resources have been committed to improve financial monitoring of facilities and services
- A register of all ASDMs was created some time ago.
- Processes are in place to manage relationships between the council and Arm's Length organisations.

Ancillary controls (newest first):

- Monthly operational board meetings.
- Managers ensure the Communications Team is fully briefed, as early as possible, on any situation that may cause significant reputational loss. The Communications Team manage media and public relations and internal communications on the matter.
- [ASDM Toolkit is available on our website](#)
- Heads of Service advise the council on any emerging issues and risks.
- Ensure best practice / lessons learned is applied to our robust contract and relationship management of ADM models.

Relevant indicators of the effectiveness of controls:

- FIN309a Ensuring best value and effective monitoring of the contract with Civica through the Strategic and Operational Boards meetings
- FIN310a Ensuring best value and effective monitoring of the contract with Citizens Advice Denbighshire through the Strategic and Operational Boards meetings

Corporate Risk Register (September 2022)

- FIN318a Ensuring efficient monitoring of the contract with Denbighshire Leisure Ltd, effective monitoring of the contract, ensuring financial sustainability
- BIM208m The number of incidents of ICT procurement NOT going through the ICT Service

Residual Risk

C2 – Major Risk: Possible / High Impact

Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

Critical risk. Risk Appetite suggests that this should be at most a moderate risk. The Risk Owner has confirmed that they are comfortable that the scoring accurately reflects the current risk to the council.

Corporate Risk Register (September 2022)

Risk 14: The risk of a health & safety incident resulting in serious injury or the loss of life. (Where H&S is referred to, this incorporates fire safety)

Lead Member(s): Councillor Julie Matthews

Risk Owner: Steve Gadd

September update:

The risk has been reviewed and the controls have been updated. The risk score has not changed.

Description

This could be as a result of unsafe acts, unsafe work places or ineffective H&S management.

Anticipated direction of travel:

This impact of this risk had previously been heightened as a consequence of risks associated with Covid-19. The risk has been reviewed and is considered to be static.

Impact / Consequences

- Serious injury or death of an employee and/or any other person.
- Significant reputational damage
- Substantial legal/litigation costs.
- Criminal prosecution of staff or the organisation.

Inherent Risk

C2 – Major Risk: Possible / High Impact

Corporate Risk Register (September 2022)

Controls to Manage Risk (in place)

Critical controls (newest first):

- Covid-19 restrictions have been removed. Many staff continue to work from home some or most of the time. The New Ways of Working Project team, led by our Corporate Director: Communities, continues to monitor the situation. There may be risks associated with a potential lack of fire wardens and first aiders in the office buildings under these current working arrangements. This is being explored and any actions or solutions identified will be added to our controls.
- Strategic leadership is provided by the Head of Finance & Property, with delegated responsibility for Health and Safety.
- Competent H&S advisors are employed by the organisation to provide support, guidance and training on H&S.
- A Corporate Health and Safety Policy is in place, which defines the H&S organisation and arrangements in the council.
- There is an established H&S Management System in place.
- H&S training program focussed on council activities and the way we manage H&S.
- “Managing safely in Denbighshire” training is mandatory for all managers.
- The corporate H&S team carry out a program of targeted monitoring
- An online accident, incident reporting process is in place. There is an expectation that all accidents and incidents are reported

Ancillary controls (newest first):

- Managers ensure the Communications Team is fully briefed, as early as possible, on any situation that may cause significant reputational loss. The Communications Team manage media and public relations and internal communications on the matter.
- An established Corporate H&S Committee is in place which is a forum for the employer and employee representatives to discuss and consult on H&S.
- A number of service level H&S committees meet to provide a forum for service managers and employee representatives to discuss and consult on H&S.

Corporate Risk Register (September 2022)

- Significant H&S related accidents, incidents and near misses are investigated internally.
- Schools have effective health and safety practices.

Relevant indicators of the effectiveness of controls:

- FINPROPHS1001 RIDDOR accident rate (National measure – No. of RIDDOR x 100,000 / No. of FTE employees)
- FAH123m The percentage of properties with asbestos where a re-inspection has been carried out in line with the asbestos management plan
- FAH119m The percentage of properties with a valid Fire Risk Assessment (*please note asbestos, fire, water, gas, electricity etc. are building compliance risks rather than health and safety risks, although failure to manage will have a health and safety impact*)
- Gas servicing, fixed wire testing and water hygiene are relevant indicators that are also monitored regularly

Residual Risk

E2 – Moderate Risk: Rare / High Impact

Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

Yes. Risk Appetite suggests that this should be at most a cautious risk.

Corporate Risk Register (September 2022)

Risk 18: The risk that programme and project benefits are not fully realised.

Lead Member(s): Councillor Gwyneth Ellis

Risk Owner: Graham Boase

September update:

The description and controls have been updated.

The risk score has not changed.

Description

This risk touches on elements of other risks in our corporate risk register. But specifically, in relation to benefits realisation, there is a real risk of lack of capacity or focus that could result in us not delivering our commitments, partly or wholly. There are reputational and financial consequences, especially where significant funding is coming from Welsh and UK governments, that could affect their confidence in us in the future.

The council currently does not consistently deliver all benefits from projects. Some of the issues include: inconsistent management; resistance to change; staff behaviour and processes not changing as planned. Programmes to be mindful of include: Corporate Plan Board, Corporate Support Services Review (CSSR), Budget Board, Climate and Ecological Change Programme, the regional Growth Deal.

A number of programmes and projects have been, or are still, facing delays as a result of Covid-19. Most recently, fuel and price inflation in the costs of materials is impacting on ability to deliver our capital projects. Welsh Government has recently said:

“In order to assess the materials cost increases the cost parameter we are now working to is the ONS Index for Materials and Components as at 1/9/2021. This will provide an upper limit for agreed cost increases. The index states that overall materials costs have increased by 22% compared to a year ago and this is the upper limit we will use.”

Corporate Risk Register (September 2022)

There are a range of Welsh Government and UK Government funding streams for some of our programmes and projects (eg 21st Century Schools, UK Levelling Up Fund), and expectations around delivery are extremely high.

This risk encompasses risks associated with the council making changes that result in a greater negative impact than we anticipated (formerly risk 00028). When deciding where to make changes, we endeavour to ensure the quality of key services. There is a risk that we haven't identified the correct services as being 'key', and/or that the changes we make are more disruptive than we anticipated.

Anticipated direction of travel:

The risk was heightened in February 2022 to reflect the range of new externally funded programmes we are delivering, or will soon be delivering, together with increasing costs associated with construction projects in particular. With inflation and the recent interest rate increase, together with economic projections not looking favourable for some time to come, the risk score remains the same. Strong controls are in place. However, the risk remains outside our (open) risk appetite and we do not expect it to decrease in the short term.

Impact / Consequences

The forecast changes that were alluded to in business cases do not materialise and, hence, neither do their benefits.

In relation to programmes or projects having a greater positive or negative impact than anticipated could result in the following impacts:

- The council's ambition and the scope of projects and programmes are curtailed due to increased costs.
- Services that are important for our residents are no longer available
- Performance in important areas of our business (for our residents) deteriorates
- Reinstatement/correction in performance is difficult and slow to achieve
- Reputation can suffer if performance deteriorates
- Reputation can suffer if messages are not managed

Corporate Risk Register (September 2022)

- The impact of not fulfilling our programmes and realising benefits could result in poor social, cultural, economic and environmental outcomes.
- Financial liabilities
- Regulatory liabilities
- Deteriorating staff morale
- Inability to meet statutory obligations
- Disproportionate return on investment.
- Failure to maximise opportunities for the benefit of communities and businesses in Denbighshire.
- Failure to agree a regional approach to funding projects.

Importantly, as resources have reduced, there is less capacity to additionally respond to new, emerging and unplanned issues of importance to residents, councillors or partners.

Inherent Risk

B2 – Critical Risk: Likely / High Impact

Controls to Manage Risk (in place)

Critical controls (newest first):

- The content of the new Corporate Plan is being developed with officers and Members. This document will capture the ambition of elected members for their term of office. It will be put forward for ratification in October 2022.
- The development of the new Corporate Plan has been an opportunity for residents, businesses, councillors and partners to consider what to prioritise for the next five years, and we will put in place ambitious but deliverable plans.
- More robust challenge is being directed at project sponsors around costs, contingency allocation and optimism biases; through CET, programme or project boards, at Cabinet, the Strategic Investment Group and through other committees.
- Programmes and projects are developed within robust management and governance systems. Corporate Project register goes to CET on a quarterly basis and provides information about the status of projects.

Corporate Risk Register (September 2022)

- We have a new capital strategy to help us plan over a longer term for capital projects and how we commit capital funding. The new process also sets a communication and engagement plan with a range of stakeholders, which as seen as critical to a successful budget setting process going forward.
- We ensure we have senior-level representation at board meetings. The North Wales Economic Ambition Board is attended by Denbighshire's Leader. Director-level representation is in place for the officer groups that support the Board and relevant key officers are represented on work stream meetings.
- Corporate Programme Office in place.
- Leadership Strategy in place.
- Strategic Planning team will support the Corporate Plan Board, and also support performance management in the organisation, therefore there's a strong alignment between 'change' and BAU.
- Impact assessments are undertaken and form part of the cover report for decisions.
- Risk are considered and form part of the cover report for decisions.
- Use of Verto to record benefit tracking and significant outcomes from projects will be picked up as part of Service Planning process.
- Finance remove savings from budgets to ensure financial savings are delivered.
- Quarterly Performance Reports on the Corporate Plan are sent to SLT, Cabinet and Scrutiny.
- SLT reviews key projects every three months.
- Programme Board members have attended Programme Management training.
- Lead Member for Finance, Performance & Strategic Assets now chairs the Corporate Plan Board, also sitting on the Budget Board. Their involvement in both boards ensures a coherent approach to our programmes and financial planning.
- The Corporate Plan 2017 to 2022 was reviewed at tranche and end of delivery reviews.
- Heads of Service assume responsibility for the implementation of new legislation, supported by the Strategic Planning Team where appropriate.

Ancillary controls (newest first):

Corporate Risk Register (September 2022)

- Managers ensure the Communications Team is fully briefed, as early as possible, on any situation that may cause significant reputational loss. The Communications Team manage media and public relations and internal communications on the matter.
- As a result of lessons learned previously, Corporate Plan Programme Boards have had a standing agenda item about communications and proactive communications management.
- Communications and stakeholder management are core parts of project briefs, businesses cases and project/programme management.
- The council partakes in government consultations on new legislation (either directly or through the WLGA).

Relevant indicators of the effectiveness of controls:

- CH008i No. of projects on the project register showing as 'compromised'
- PRCORP The percentage of Council projects whose delivery confidence was updated no more than six weeks ago (Corporate Project Register)

Residual Risk

B2 - Critical Risk: Likely / High Impact

Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

Critical risk. Our risk appetite statement says that at most, this risk should be a major risk at most. The Risk Owner has confirmed that they are comfortable that the scoring accurately reflects the current risk to the council.

Corporate Risk Register (September 2022)

Further Actions

1. Ensure all of SLT have access to necessary training to support them in their roles as sponsors and to manage interdependencies

Action Due Date: 31/03/2023

Person Responsible: Graham Boase

Corporate Risk Register (September 2022)

Risk 21: The risk that effective partnerships and interfaces between BCU Health Board and Denbighshire County Council (DCC) do not develop, leading to significant misalignment between the strategic and operational direction of BCU and DCC

Lead Member(s): Councillor Elen Heaton

Risk Owner: Nicola Stubbins

September update:

The description and controls have been updated.

The risk score has not changed.

Description

Integrated social care and health services and delivering on the [Social Services and Well-being \(Wales\) Act 2014](#) is a fundamental part of our partnership with the health board and more widely, across North Wales, through the Regional Partnership Board and the North Wales Social Care and Well-being Improvement Collaborative.

Whilst BCUHB is no longer in special measures, health at a local level, and the effectiveness of health and social care working together, is subject to increased political and regulatory scrutiny. This requires a level of scrutiny and a strong commitment to partnership. There is a national agenda to drive effective partnership working.

Relationship management and communication is critical to successful mitigation.

A BCUHB 'Stronger Together' restructure is still planned and the current Chief Executive is retiring. An internal BCUHB consultation document was shared with Denbighshire County Council. There are some significant changes proposed to the structure of the Board, which will have a direct impact on the relationship with the council.

Corporate Risk Register (September 2022)

The proposal currently sets out a new structure that, for the central area, will comprise of acute, community and primary care. There is a risk that the community agenda will be overshadowed by acute care. The approach of BCUHB in respect of regional collaboration (eg the Regional Partnership Board) is currently unclear. The area's new Director lead within BCUHB will be a clinician (this role has never required a clinician as a prerequisite), and we will strive to develop a new working relationship within them as they implement the new structure, once it is approved. There are opportunities, but we have concerns about the timeliness of decision making in the intervening period. There are an increasing number of interim posts, and this is affecting decision making and there is some organisational memory loss.

A restructure of Denbighshire County Council is also being planned but it is too early to say what that will mean, if anything, for our relationship with BCUHB. Our Corporate Director remains the main interface for this risk.

As at September 2022, there is a great deal of focus on challenges in acute hospitals and delayed transfers of care.

Anticipated direction of travel:

The longer term impact of Covid-19 is becoming apparent but is by no means fully understood. The catch up required in routine/planned treatment, exacerbated health inequalities and hidden harms (due to not having treatment, mental health impact of Covid-19), all create a potential for challenge in the system, and therefore the relationship, which could affect delivery of integrated social care and health services in Denbighshire. The funding arrangements with Welsh Government create an ongoing friction.

The partnership arrangements and relationships we have built means there is enough interface and opportunity to deal with issues before they become significant problems.

However, there is a possibility that this risk could increase in terms of both likelihood and impact (and sit further beyond our risk appetite) - certainly before and during the proposed restructure - should our controls be ineffective.

Corporate Risk Register (September 2022)

Impact / Consequences

- Inefficient services
- Gaps in service provision
- Delays/failure to deliver joint projects
- Reputational damage
- Ability to meet statutory duties - Well-being of Future Generations Bill, Social Services and Well-being Act

Inherent Risk

A1 – Critical Risk: Almost certain / Very high impact

Controls to Manage Risk (in place)

Critical controls (newest first):

- BCUHB is engaging and consulting all councils in the region on their proposals, and councils are working together to consider their response to these proposals.
- The council will form part of two interview panels for two posts within the proposed structure.
- The Regional Partnership Board and the North Wales Social Care and Well-being Improvement Collaborative have reviewed needs in relation to social care and health services as part of our population needs assessment (Social Services and Well-being (Wales) Act 2014).
- Until the restructure is implemented, the Central Area Integrated Services Board is in place and a BCUHB Area Director in place.
- Two Community Resource Teams have been established.
- The Regional Partnership Board is in place to progress cooperation and integration.
- BCUHB is a member of the Conwy/Denbighshire PSB, which has shared priorities and a shared governance vision.

Ancillary controls (newest first):

Corporate Risk Register (September 2022)

- Managers ensure the Communications Team is fully briefed, as early as possible, on any situation that may cause significant reputational loss. The Communications Team manage media and public relations and internal communications on the matter.
- NWWSIC has reviewed its governance arrangements in partnership with BCUHB.

Relevant indicators of the effectiveness of controls:

- An indicator that could be a measure of the effectiveness of controls is currently under review by Welsh Government (there are some data accuracy issues associated with it): QSCA001 The rate of delayed transfers of care for social care reasons per 1000 population aged 75 or over.

Qualitative indicators that describe what effective management/partnerships looks and feels like may be more appropriate in this instance. Such as, governance (eg Regional Partnership Board) and service level agreements, Memorandums of Understanding.

Assurance:

- Audit Wales has examined Regional Partnership Boards' commissioning of older people's care homes recently and a report was [presented to Governance and Audit Committee](#) in March 2022.

Residual Risk

C2 – Major Risk: Possible / High Impact

Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

Major risk. Risk Appetite suggests that this should be at most a moderate risk. The Risk Owner has confirmed that they are comfortable that the scoring accurately reflects the current risk to the council.

Corporate Risk Register (September 2022)

Risk 27: The risk that even if the settlement is as anticipated, decisions that are necessary to identify and deliver the savings programme and enable a balanced budget are not taken or implemented quickly enough

Lead Member(s): Councillor Gwyneth Ellis

Risk Owner: Steve Gadd

September update:

The description and controls sections have been updated.

The risk score has not changed.

The further action has been extended to 31/12/2022.

Corporate Risk Register (September 2022)

Description

The Local Government Settlement for 2022 to 2023 included indicative average settlement increases of 3.5% for 2023 to 2024 and 2.4% for 2024 to 2025 (estimated DCC figures would 3.3% and 2.2%). Although this was very welcome from a planning perspective it does indicate that difficult decisions will be required over the coming years. Since then however there have been a growing list of significant economic and demand pressures related to inflation (e.g. pay, energy), social care, waste budgets, benefits, the supply of goods and services in the supply chain (and the impact on our capital plan).

The economy has suffered several shocks in recent years. Leaving the European Union, Covid-19, war in Ukraine and increases in cost of living. Recent economic sanctions imposed on Russia have added further tension to the global economy. Cost of fuel, goods and services have increased and led to concerns around the level of inflation in the UK, prompting The Bank of England to increase base rates and predictions currently expect this trend to continue. Higher, or increasing, interest rates will place mounting pressure on businesses and communities across Denbighshire.

The current projections of pressures indicate that pressures of £19m at least in each of the next two years will require funding. Even after taking into account an annual Council Tax increase of 3.8% and the indicative RSG settlements eluded to above, shortfalls remain in excess of £8-9m in each year. Similar pressures are being experienced by other Welsh local authorities.

Any plans require the approval of Council, and must be implemented in a timely manner that complies with legislation. While the budget process has been successful to date there are still substantial future savings to be made by the local authority and the political environment remains sensitive.

As decisions are becoming harder lead in times are becoming longer. Decisions may become more challenging as the financial and economic environment becomes tighter.

The Head of Finance and Property's service plan includes key performance indicators that are associated with effective management of this risk (for example, the percentage of

Corporate Risk Register (September 2022)

savings achieved and the percentage of savings that are needed for the following year that are identified).

The investments and supply structures held by the council and its commissioned services could be placed in an uncertain position depending on the value of the pound. This is particularly of issue in the viability of some residential care homes, and the subsequent risk to the council if any of those private providers were no longer sustainable.

Anticipated direction of travel:

This risk remains outside of our risk appetite, and has the potential to worsen, as the scale of financial challenge has become clearer. The outlook for public bodies has worsened very recently, and we are expecting a return to austerity - at least in the near term.

Services have already made significant savings over the last 12 years and it is increasingly likely that further savings will result in reductions in service which will be more difficult to prioritise and deliver.

Impact / Consequences

- Denbighshire overspends on its budget.
- Denbighshire cannot deliver savings.
- Denbighshire has insufficient time to ensure good financial monitoring and robust planning.
- Inflation could result in the need to make greater savings.
- Stretched resources, affecting our ability to deliver on statutory functions.
- Low staff morale.
- Regulatory action, and poor reputation if unprepared.
- Reputational damage.

Inherent Risk

B1 – Critical Risk: Likely / Very High Impact

Corporate Risk Register (September 2022)

Controls to Manage Risk (in place)

Critical controls (newest first):

- The new Cabinet has agreed the continuation of existing financial management following elections in May 2022.
- A budget report is produced for Cabinet every month.
- In relation to the Brexit-related aspects to this risk (transferred from the Brexit Risk Register), we observe the fluctuations in the value of the pound; we have asked Services to continually monitor and report on Brexit-linked supply issues and cost increase and a risk is included within Finance and Property Risk Register “Unforeseen financial consequences that arise specifically due to BREXIT”
- A new three to five-year budget process has been agreed by Council. It aims to capture ‘small’ scale budget flaws (under £100k), identify key strategic budget pressures (over £100k) and aims to ensure a full picture of pressures can be considered in a timely manner and are managed more closely. It is hoped this new approach will identify pressures in services as well areas needing investment. It also aims to identify bigger projects that make savings over the period of three to five years, to minimise the savings target. The new process also sets a communication and engagement plan with a range of stakeholders, which as seen as critical to a successful budget setting process going forward.
- The budget process has been followed and discussed at a range of fora, and more meetings are planned for the autumn 2021.
- The budget setting process involves Members, so they understand that difficult decisions are necessary, and they are involved with developing the proposals. This should make them more likely to support the recommendations made.
- The Budget Board is likely to be asked to consider some controversial suggestions going forward that will require political support. Therefore, there may be increased risk of not achieving approval for the service changes required to deliver a balanced budget.
- Early identification of the budget gap and potential actions to address it are managed through the Budget Board and SLT.

Corporate Risk Register (September 2022)

- All of these controls are in place to ensure good financial monitoring and robust financial planning.

Ancillary control:

- Managers ensure the Communications Team is fully briefed, as early as possible, on any situation that may cause significant reputational loss. The Communications Team manage media and public relations and internal communications on the matter.

Relevant indicators of the effectiveness of controls:

- FAH201m: The % of required efficiency savings identified for next year (Quarterly)
- FAH202m: The % of required efficiency savings achieved for this year (Quarterly)
- FAH208m: The % of budget monitoring reports completed on time

Residual Risk

C2 – Major Risk: Possible / High Impact

Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

Major risk. Risk Appetite suggests that this should be at most a moderate risk. The Risk Owner has confirmed that they are comfortable that the scoring accurately reflects the current risk to the council.

Further Actions

1. Review Strategic Investment Group (SIG) process.

Action Due Date: 31/12/2022

Person Responsible: Steve Gadd

Corporate Risk Register (September 2022)

Risk 30: The risk that Senior Leadership capacity and skills to sustain service and corporate performance is not available

Lead Member(s): Councillor Gwyneth Ellis

Risk Owner: Graham Boase

September update:

The description and controls have been updated.

The risk score has not changed.

Description

The current structure of the Senior Leadership Team was developed some time ago and was built on the strength and experience of current post holders. As the number of posts at SLT has reduced there is a concentration of key roles that are critical to the successful delivery of services, and the organisation's ability to respond to policy and legislation.

There is a risk that individuals with particular skill sets would be difficult to replace, and there is also a risk that the organisation is not flexible enough to keep up with the pace of change required in light of new corporate priorities and future budget pressures. There was also great pressure on the Senior Leadership Team, who were managing services remotely through the pandemic, whilst trying to manage business as usual. Remote management continues as some staff continue to work from home. An SLT review is currently underway with the aim to put additional capacity in the SLT structure. An update will be available by our next formal review. See the controls section for more information.

Currently, three heads of service posts are filled on an interim basis (Community Support Services, Business Improvement and Modernisation and Highways and Environmental Services). Two Corporate Director posts have been filled, and have been in post since the beginning of September 2022.

Anticipated direction of travel:

Corporate Risk Register (September 2022)

The recent increase in this risk in recent times is anticipated to be temporary, until such time the new structure is implemented and embedded. The risk remains within our risk appetite and is not expected to exceed it.

Impact / Consequences

- Reputational damage.
- Declining performance.
- Poor performance against new priorities.
- Stress and poor health and well-being.

Inherent Risk

C3 – Moderate Risk: Possible / Medium Impact

Controls to Manage Risk (in place)

Critical controls (newest first):

- A proposal was presented to Council in March 2022, requesting that a new Corporate Director role be created (phase 1), bringing the number of Corporate Directors to three. Corporate Director posts have now been filled, and have been in post since the beginning of September 2022. Phase 2 will commence in the Autumn 2022, looking at Heads of Service level.
- CE and Directors performance manage Heads of Service
- A training plan for management and leadership in the council going forward is being developed.
- HR have completed workforce planning with all services and a corporate workforce plan is in place.
- Leadership Strategy is in place
- Heads of Service are tested on their succession plans through Service Challenge
- Quarterly Leadership Conferences held to develop middle managers.
- Heads of Service are encouraged to rethink their service plans against context of new corporate plan, budget decisions, and any new legislation, etc.

Corporate Risk Register (September 2022)

- The establishment of an alternative service delivery model for leisure includes within the project the need to reduce the risk of knowledge and skills loss. The senior leadership team restructure took place in September 2019.

Ancillary controls (newest first):

- Managers ensure the Communications Team is fully briefed, as early as possible, on any situation that may cause significant reputational loss. The Communications Team manage media and public relations and internal communications on the matter.
- Greater opportunities for Middle Managers to 'act up' to key posts in order to gain experience at a more senior level
- Additional support has been put in place through occupational health.

Relevant indicators of the effectiveness of controls:

- Number of vacant posts

Other qualitative data will be able to describe what effective capacity and skills looks and feels like when it cannot be measured.

Residual Risk

C3 – Moderate Risk: Possible / Medium

Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

Yes

Corporate Risk Register (September 2022)

Risk 31: The risk of fraud and corruption resulting in financial and reputational loss and possibly impacting on service delivery.

Lead Member(s): Councillor Gwyneth Ellis

Risk Owner: Gary Williams

September update:

The risk has been reviewed and the risk score has not changed.

Description

Denbighshire County Council employs in excess of 4,000, with a significant net revenue budget in the hundreds of millions. It commissions and provides a wide range of services to individuals and households and works with a wide range of private, public and voluntary sector organisations. As with any other large organisation, the size and nature of the council's services mean that there is an ongoing risk of loss due to fraud and corruption from both internal and external sources. There is also an ongoing risk of bribery as the council provides and procures goods, works and services.

The council recognises that as well as causing financial loss, fraud is also detrimental to the provision of services, and damaging to the reputation of, and confidence in, the council and public bodies in general.

Anticipated direction of travel:

This risk is a static risk, and our aim is to maintain it as a moderate risk. We would not foresee a time when this risk would not be on the risk register. There are no performance measures currently available to quantify progress in reducing this risk.

Impact / Consequences

- Financial loss.

Corporate Risk Register (September 2022)

- Loss of reputation and confidence in the council and public bodies in general.
- Negative impact on service provision / delivery.
- Legal / compensation costs.
- Criminal prosecution.
- Negative audit / inspection reports.

Inherent Risk

C2 – Major Risk: Possible / High Impact

Controls to Manage Risk (in place)

In its policies and procedures, the council gives out the clear message that it will not tolerate any impropriety by employees, elected Members or third party organisations. It has put in place appropriate and proportionate systems to minimise this risk and these are kept under constant review, including the following:

Critical controls (newest first):

- Internal Audit has conducted a review of ethical culture. As a result, we are introducing clearer guidance about our code of conduct (for Officers) and will strengthen arrangements for declarations of conflicts and interests, including gifts and hospitality.
- The strategy for the prevention and detection of fraud corruption and bribery, which includes fraud response plan, was updated and ratified by Governance and Audit Committee in July 2021. The purpose of the Strategy and Fraud Response Plan is to provide management with a tool to ensure progress and transparency with regards to counter-fraud activities. It is designed to heighten the Council's fraud resilience and demonstrate its protection and stewardship of public funds.
- In developing this Strategy, the Council has adopted the guiding principles included in "Fighting Fraud and Corruption Locally 2020" (FFCL2020) which is the counter fraud and corruption strategy for local government. It provides a blueprint for a coordinated response to fraud and corruption perpetrated against local authorities with the support of those at the top.

Corporate Risk Register (September 2022)

- IT systems have authorisation controls in place, which reduce the risk of fraud (remote working does not increase the risk)
- The Code of Corporate Governance
- The Code of Conduct for Elected Members
- The Employees' Code of Conduct
- Financial Regulations including Contract Procedure Rules
- The Whistleblowing Policy
- The Anti-Money Laundering Policy
- Recognition and monitoring of the risk of fraud in service risk registers
- Systems of internal control
- Recruitment processes
- Annual review by the council's Internal Audit team
- Regular internal and external review of our systems and procedures
- The risk of fraud and corruption is also managed at a service level

Ancillary controls (newest first):

- The Communications team has a close working relationship with Internal Audit and low assurance rated reports are flagged up at an early stage.
- Managers ensure the Communications Team is fully briefed, as early as possible, on any situation that may cause significant reputational loss. The Communications Team manage media and public relations and internal communications on the matter.
- Engagement with the National Fraud Initiative (NFI)
- E-learning modules on Whistleblowing and Code of conduct

Relevant indicators of the effectiveness of controls:

- LHRD11i: Number of procurement challenges
- BIM207i: The number of data protection breaches that were reported to the Information Commissioner's Office

Corporate Risk Register (September 2022)

- CH014i: Negative news stories as a percentage of all news stories about the council.
- CH013i: No. of Internal Audit low assurance reports, financial year to date

Residual Risk

E2 – Moderate Risk: Rare / High impact

Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

Yes

Corporate Risk Register (September 2022)

Risk 33: The risk that the cost of care is outstripping the council's resource

Lead Member(s): Councillor Gill German and Councillor Elen Heaton

Risk Owner: Nicola Stubbins

September update:

The description has been updated.

The risk score has not changed.

The further action due date has been extended to reflect the delays to the Ruthin extra care housing project.

Description

The continued inflationary pressure resulting from the cost of domiciliary and residential care means the cost of care could outstrip our budget.

Covid-19 has highlighted the fragility of residential and domiciliary care.

Following a previous review of this risk, last September in 2021, Welsh Government announced that it will fund the Real Living Wage (RLW) for registered social. This RLW funding was made available from April 2022 and our 2022 to 2023 care fees included the RLW. Whilst it is not the case that all eligible workers will have received the payment from April 2022, Welsh Government expects the funding to reach worker's pockets as quickly as possible. However, it acknowledges this will take time to implement and that year 1 will be a 'transition' year.

The council has been given an amount in the settlement but we will need to determine how we get that money to the providers and ensure that employees receive those wage increases. There are a number of complexities to implementation, and implementation will be a significant piece of work for the next few years at least.

Anticipated direction of travel:

Corporate Risk Register (September 2022)

Whilst we expect this to be a static risk that consistently features in our corporate risk register, implementation of the RLW settlement is based on calculations that may not meet the actual cost of providing the RLW. As at September 2022, we are waiting for the RLW figure to be announced (due imminently). We will continue to manage this risk, and implementation of RLW funding, closely to ensure controls are working as they should be and are having the desired effect. There could be a change to the risk score as a result of the settlement to fund the RLW.

Impact / Consequences

- Overspends in Social Care place significant budget pressures on the council and could result in the scaling back or withdrawal of non-statutory services.
- The social care budget is consistently overspent by over £1million per year, which up until recently, has been mitigated somewhat by the use of reserves of £0.5million per annum towards the overspend. However, the reserves are now depleted. The annual budget process has taken into account the projected pressure in this area: £2.6million was included as a pressure for 2020 to 2021 and the Budget for 2021 to 2022 included a pressure of £2.4million. It is, however, recognised that growth in demand will also continue in future years.
- Eligible workers do not receive the RLW uplift in their pay packets.

Inherent Risk

B1 – Critical Risk: Likely / Very High Impact

Controls to Manage Risk (in place)

Demand needs to be managed in order to maintain current levels of expenditure. The following controls are currently being embedded:

Critical controls:

- Conwy's Director is leading on the RLW work for ADSS Cymru so we are well informed and engaged across the region.

Corporate Risk Register (September 2022)

- A focus on prevention and early intervention so people don't need to go into care.
- Third Sector grant programme.
- Talking Points.
- Community Navigators.
- Supporting Independence Strategy.
- Being innovative and maximising use of grant monies.
- New approach to supporting people to achieving outcomes.
- Improved partnership working with BCUHB and integrated assessment as well as managing continuing health care.
- Identification of the pressures as part of the medium term financial process.
- Our Corporate Director: Communities is a member of WG's Social Care Forum and is examining pay and conditions of social care workforce.

Ancillary controls (newest first):

- Managers ensure the Communications Team is fully briefed, as early as possible, on any situation that may cause significant reputational loss. The Communications Team manage media and public relations and internal communications on the matter.
- Opportunities arising from the Healthier Wales Transformation Programme.

Relevant indicators of the effectiveness of controls:

- The Budget Board and CET closely monitor budgets and what is happening at a national, regional and local level.
- Service budget variance for CSS and ECS

Residual Risk

C2 – Major Risk: Possible / High Impact

Corporate Risk Register (September 2022)

Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

Major risk. Risk Appetite suggests that this should be at most a moderate risk. The Risk Owner has confirmed that they are comfortable that the scoring accurately reflects the current risk to the council.

Further Actions

1. Development of additional extra care housing (corporate plan priority)

[The Denbigh extra care](#) scheme is fully open. The project in Ruthin has now started following some delays.

Action Due Date: 28/02/2024

Person Responsible: Ann Lloyd

Corporate Risk Register (September 2022)

Risk 34: The risk that demand for specialist care cannot be met locally

Lead Member(s): Councillor Gill German and Councillor Elen Heaton

Risk Owner: Nicola Stubbins

September update:

The description has been updated to reflect our concerns (notwithstanding our support for) interventions by Welsh Government to eliminate private profit from the care of looked after children.

The risk score has not changed. This continues to be a critical risk. However, our previous review had the inherent and residual scores the wrong way around. This has been rectified in this version. The risk remains outside of our risk appetite.

The further action includes an update on progress and the deadline has been extended in line with revised project milestones.

Description

Availability of some specialist adult and child places can be scarce, leading to the requirement to provide expensive services that aren't available locally. A reduction in the availability of domiciliary care provision means we are unable to provide services needed (particularly in the south of the county).

This continues to be a significant risk. We are still in a position of having had over 1000 hours of domiciliary care being handed back to the council due to staff shortages. This means people are waiting for domiciliary care agency allocation. However, there are signs are that the number of hours being handed back is reducing, but this is still being managed extremely closely.

As previously highlighted, the reasons for this situation are summarised as follows:

Corporate Risk Register (September 2022)

- **Recruitment and retention** – This is a national issue for the care sector. At the root of this are many factors, including the relatively low wages, high demands, and a sometimes perceived lack of esteem/value in the care career path. Even internally in DCC, we struggle to recruit to care work positions.
- **Increase in scale and complexity of needs** – The ageing population brings obvious additional pressures in this area. We have seen an increase in need for double-handed packages. Some individuals currently awaiting domiciliary care have also had previous agencies withdraw, due to their being unable to manage the level/complexity of need.
- **Denbighshire's rural geography** – This presents a number of challenges, including because of costs, e.g. travel time can make a rural care package much less attractive to prospective providers, and recruitment, e.g. as usually care workers covering more rural areas must be able to drive.
- **Citizens' choice** – A number of individuals currently awaiting care have been made offers that they have declined, on the basis that they are unhappy with the specific hours being offered.
- **The prevention and reablement agenda** – Enabling people to remain independent and prevent the need for residential care, prolonged hospital stays etc. as far as possible - while of course significant wellbeing goals and priorities for the council - naturally creates additional pressures on domiciliary care/interim services.

The wider consequences of the pandemic are also making this issue more challenging. People are also making life changes with some leaving the sector altogether.

The risk is also heightened as a result of [risk 50](#). The Welsh Government's Programme for Government makes a commitment to 'eliminate private profit from the care of looked after children during the next Senedd term'. The objective of removing profit is a positive one and it has the region's resounding commitment. However, it is imperative that Welsh Government take steps in pursuit of not-for-profit arrangements that do not disrupt children and young people's lives in the short term. Our key concern is that providers become unsettled and the sufficiency and suitability of placements will be affected, affecting the lives of Looked After Children, and increases this risk that demand for specialist care cannot be met locally.

Corporate Risk Register (September 2022)

Anticipated direction of travel:

Currently, the risk associated with us being unable to meet the demand for specialist care locally is a critical risk, which is beyond our appetite. In the longer term, we hope to bring the risk under control and return to a 'business as usual' scenario. It is not clear how long this will take.

Impact / Consequences

- High cost
- Individuals with eligible needs unable to receive suitable domiciliary care due to lack of resources and service provision
- If far from home, there is a detrimental impact on a client's well-being (and that of their family)
- Unable to meet need in preferred language
- Staff become over-stretched
- Reputational damage.

Inherent Risk

A2 – Critical Risk: Almost certain / High Impact

Controls to Manage Risk (in place)

Critical controls (newest first):

These critical controls relate to action being taken to deal with the current demand and challenges for domiciliary care provision in the county:

- Cabinet members were involved in a discussion with senior officers about specialist care shortly after our February 2022 review.
- Implementation of Welsh Government's decision to fund the Real Living Wage (RLW) for registered social workers.
- Recruited a dedicated HR Social Care Specialist.

Corporate Risk Register (September 2022)

- A corporate Social Care Recruitment and Retention Group has been established, chaired by our Corporate Director. The Group is initially focussed on internal recruitment and retention but it will have implications on external recruitment and retention. That Group is also reviewing our pay scales across children's and adult's social care, from entry level care right up to qualified social workers, Occupational Therapists, senior practitioners etc.
- Managers ensure the Communications Team is fully briefed, as early as possible, on any situation that may cause significant reputational loss. The Communications Team manage media and public relations and internal communications on the matter.
- The silver health and social care Covid-19 group has been stood down.
- Our in-house teams (Reablement, Interim and Health & Social Care Support Workers) are covering as many outstanding care packages as possible.
- We are currently looking at how we can safely (in compliance with CIW/SCW requirements) draw on more support from other internal social care staff who do not currently deliver personal care.
- Working closely with health colleagues to manage workload and explore the potential to tap into their care applicants.
- Continue to explore alternative ways of meeting people's needs, within a strengths-based, enabling approach.
- A Community Catalyst has recently been commissioned to get micro-enterprises/micro providers off the ground in Denbighshire
- We are working with Procurement to look at contractual arrangements to respond to the exceptional circumstances.
- We are returning to discussions with other local authorities to look at opportunities for joint commissioning.
- We will continue working to ensure that carers have the support they need.
- We will be exploring possibilities to create more flexibility for residential care staff to provide some domiciliary care hours; however, it is currently not possible to create such arrangements because of Covid-19 infection control measures in care homes.
- We are looking at ways that we can try to manage the expectations of citizens/families; to continue to honour preference as much as possible, while at the

Corporate Risk Register (September 2022)

same time ensuring that we are realistic about what we can provide, and that we are ultimately led by need.

Critical controls under usual circumstances include:

- Single Point of Access is fully established and proving successful in providing advice and information to individuals in order for them to access community services themselves.
- Community Led Conversations 'What Matters' project changing the way staff support individuals enabling them to take control of their own well-being and utilising other external resources where possible.
- Developing a range of staff skill mixes through workforce development in order to enable staff to work in new ways that complement the new government agenda.
- Series of meetings with providers across CSS underway to negotiate increasing fees.
- Review and re-assessment project to ensure individuals are still eligible under new criteria
- Further development of support budgets
- Regional project considering issues.
- Recommissioning domiciliary care project in progress - this includes the implementation of the new regional domiciliary care framework in Denbighshire to include patch based commissioning for difficult rural areas.
- New care team in CSS South Locality (reablers providing longer term support whilst identifying appropriate agency)
- The North Wales Transformation Programme is in place and we are leading one of the four projects.

Ancillary controls:

- Denbighshire County Council has written to the UK Government following a Notice of Motion that was put before a meeting of Full Council on 12 October 2021. The letter urges UK Government to designate, as a matter of urgency, social care

Corporate Risk Register (September 2022)

workers as skilled workers, in order that they meet the entry requirements of the post-Brexit points-based immigration system introduced in January 2021.

- Recruitment fayres taken place in county to highlight the need for specific health and social care staff.
- Continue to look at the use of grant monies in creative and combined ways to deliver better solutions.
- CIW national review of domiciliary care - implementing recommendations.

Relevant indicators of the effectiveness of controls:

- Delivery of the Social Care Recruitment and Retention Group's action plan.
- Vacancies (internal and external) and recruitment activity
- Budget variance
- CSSAGGR02.1 Number of assessments of need for care and support undertaken during the year and of those, the number of assessments that led to a care and support plan

Assurance:

- CIW monitor progress through routine performance review activities and through a CIW local authority risk based approach to inspection planning.
- A follow up inspection "Assurance Check" was undertaken in Denbighshire by the Care Inspectorate Wales between June and July 2021. We have received their findings, in which they highlight improvements in safeguarding as well as some areas for further development. The interim management arrangements in Education and Children's Services was noted as an issue, which has since been settled. However, we now have two interim head of service leads in Community Support Service. The Council is aware of the need for stable and consistent management and it is being managed closely.

Residual Risk

B2 – Critical Risk: Likely / High Impact

Corporate Risk Register (September 2022)

Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

Critical risk. Risk Appetite suggests that this should be at most a moderate risk. The Risk Owner, together with the Head of Community Support Services, are actively managing this risk to bring it back under control. This is a national issue though and one that is unlikely to be resolved quickly.

Further Actions

1. Develop a new Children's Assessment Centre jointly with Conwy CBC

Prior to the award of the contract, issues were raised regarding the identified contractor. Following a 'due diligence' process, Conwy County Borough Council (who are leading on the project), with full support of Denbighshire Officers, did not award the tender. Internal processes are now being followed to again tender the construction of the project. It is believed that a recent change in funding timescales will assist in the tender process. Welsh Government remain supportive of the project aims.

Action Due Date: 31/03/2024

Person Responsible: Rhian Morrle

Corporate Risk Register (September 2022)

Risk 36: The risk that the economic and financial environment worsens beyond current expectations, and has a detrimental impact on local businesses and economic hardship for the local community

Lead Member(s): Councillor Jason McLellan

Risk Owner: Emlyn Jones

September update:

The inherent and residual risk scores have been increased to reflect the recent increase in interest rates, and economic turbulence more generally. The inherent risk score has increased from B1 – Critical Risk: Likely / Very High Impact to A1 – Critical Risk: Almost certain / Very High Impact. The residual score has increased from C2 – Major Risk: Possible / High Impact to B2 - Critical Risk: Likely / High Impact and the risk is outside of our risk appetite.

The description, impact and controls sections have all been updated. Given the economic turbulence globally, we will need to keep this risk under close management.

Description

The economy has suffered several shocks in recent years. Leaving the European Union, Covid-19, war in Ukraine and increases in cost of living. Recent economic sanctions imposed on Russia have added further tension to the global economy. Cost of fuel, goods and services have increased and led to concerns around the level of inflation in the UK, prompting The Bank of England, in August 2022, to increase the base rate to 1.75% from 1.25%.

This risk is about “the risk that the economic and financial environment worsens beyond current expectations, and has a detrimental impact on local businesses and economic hardship for the local community”. It is currently difficult to predict what will happen with the interest rate although it is widely expected that it remain stay higher than the historically

Corporate Risk Register (September 2022)

low rates of the last few decades, for some time. Higher, or increasing, interest rates will place mounting pressure on businesses and communities across Denbighshire.

Our controls bring together a range of support and targeted interventions to alleviate the situation as it is currently, and these incorporate actions related to cost of living, leaving the EU and post-Covid recovery.

EU exit:

The UK has now left the EU and the transition period has come to an end. The implications of the 'light' trade deal that was reached with the EU are not yet fully understood and are being masked by the impact of Covid-19 and the global economic turbulence. As a minimum we anticipate, short-term disruption to the trade of certain goods to and from the EU as businesses adapt to new requirements. This could have repercussions on the council in terms of purchasing goods and supplies. Supplies have been affected by Covid-19 and staff shortages in certain sectors, which is affecting costs and availability. Please note supply issues and cost implications for the council are considered under risk 06, and the risk of recruitment and retention issues for the council is captured under risk 48.

Supply of goods and services that affect businesses include:

- Labour shortages and vacancies across sectors leading to delays
- Fuel and energy costs, commodity (including food) supply and price increases (including in transport and freight, and in relation to supply of goods)

According to the Local Government EU Advisory Panel, which last met in January 2022, there is general consensus that global supply chains will continue to be adversely affected for the foreseeable future. Issues around supply of food have escalated following events in and around Ukraine. The need for more sustainability in supply chains is evident far beyond the coronavirus pandemic. There is evidence that some businesses are trying to address this for the long term building more resilient supply chains and moving from the 'just in time' model to the 'just in case' model (a 'just-in-time' inventory aims to reduce excess supply and create a lean production process, while a 'just-in-case' inventory is used to avoid running out of stock due to a sudden increase in demand). The Panel

Corporate Risk Register (September 2022)

concluded that business operations are trying to adapt to the new situation and will probably face changes for the foreseeable future.

The potential consequences associated with Brexit could still include an economic downturn in the short to medium term and reduced funding over the medium to long term. This could lead to business loss from the Denbighshire economy resulting in greater demand on DCC services, e.g. economic development, housing, and mental health support by the agricultural community. The loss of multiple small businesses or a small number of large businesses could have cascading impacts. Furthermore, changes to the direct payments to farmers could result in new stipulations that require adaptation. It is also likely that there will be an increased administrative burden and cost to exporting goods outside of the UK. Where farmers are not supported to adapt, there is a risk to human and animal well-being. The new Welsh Government (WG) agriculture policy does not include like for like funding for rural development / communities but may include provision for similar initiatives. A rapid response framework to prioritise and mobilise support for businesses facing difficulty is in place from Welsh Government.

Specific long-term implications on Denbighshire businesses, particularly agriculture and the food industry, also need to be better understood. The council must continue, therefore, to be braced for any implications of Brexit in terms of funding (e.g. State-Aid / Shared Prosperity Fund, and current WEFO funded projects), and the likely impact on demand for services. Whilst a deal with the European Union is now in place, it is too early to quantify impacts; positive or negative, especially as the world continues to deal with the effects of COvid-19 and continued economic turbulence, not least very recently as a result of tough economic sanctions on Russia.

Anticipated direction of travel:

Controls have established clear lines of communication and information sharing that has been critical during a long period of uncertainty. Levelling Up and the Shared Prosperity Fund are developing and will be very important controls to reduce the impacts of this risk. It is difficult to project how the economy will behave over the next six months and beyond. Strong mechanisms are in place to allow ongoing monitoring of the risk as a result.

Corporate Risk Register (September 2022)

We would hope and expect that small Denbighshire-based businesses will continue to respond and adapt to changing circumstances arising from Brexit in the immediate / short term. The impact on larger Denbighshire-based businesses, such as forestry, food and agricultural industries, for example, may be felt more in the short to medium-term as they try to adapt their business models to remain sustainable, in 2022 to 23 and perhaps 2023 to 24. We will remain vigilant of the impact of new trading frameworks as they become live.

Impact / Consequences

- EU funded projects (e.g. skills, poverty and regeneration projects; rural and business funding) come to end and the project ceases or operates on a scaled-back version.
- Impact on supply chains and procurement of goods and services.
- Foreign Direct Investments in Denbighshire could be affected.
- Legislative change could result in delays and uncertainty for legal proceedings.
- Impact on farming and agriculture:
 - Inflation continues to affect agriculture causing significant price rises for some products such as fertilizer.
 - Increase in the number of farming businesses facing financial hardship.
 - Mental well-being of farming community.
 - Physical welfare of animals.
- Denbighshire businesses that import / export to European Union areas. For example, Cefndy exports medical equipment products.
- Collapse of key businesses serving communities
- Vacancies or loss of employment in the county
- Financial hardship, impacting the most on those already in poverty.
- Impact on mental well-being of residents
- Potentially negative impact on broader public sector provision
- Increased pressure on social and public / animal protection services
- All the above would lead to increased pressure on public services.
- Reputational damage.

Corporate Risk Register (September 2022)

Inherent Risk

A1 – Critical Risk: Almost certain / Very High Impact

Controls to Manage Risk (in place)

Critical controls:

- UK financial support is expected but packages of support have not yet been agreed.
- We are planning to host, in partnership with DVSC and others, two day events focussed on cost of living around October 2022. The first day will likely be targeted at the general public (residents and businesses) and professionals, with a range of stalls offering information about support and other services. The purpose will be to raise awareness about what's on offer for people's personal knowledge and for professionals in their day to day roles supporting households and businesses. The second day will take a more traditional conference format with a focus on professionals and community advocates. This will take more of an emergency planning approach to discussing what practical help is needed now.
- We are implementing Welsh Government's [Cost-of-living Support Scheme](#); a support package that will provide a payment to households to help with the rising costs-of-living. The payments (£150) are not taxable and will not affect any entitlement to Welfare Benefits. This scheme is in place alongside others, such as the roll out of universal free school meals, council tax reduction, winter fuel support fund, [business rate relief](#) and Welsh Government's discretionary assistance fund. All information is on our [website](#).
- We are hoping to launch grant support for business owners to maintain their properties and reduce neglected business premises and prevent eyesores. The fund is supported by Welsh Government in addition to the town centre loan scheme already on offer.
- Our regulatory role in relation to businesses is no longer focussed on Covid-19 regulations and is back to its business as usual operation, supporting businesses generally through this difficult time.

Corporate Risk Register (September 2022)

- UK Government Funding: Levelling Up and Shared Prosperity Funding is focussed on addressing issues outstanding after the end of EU funded programmes (capital and revenue funding).
 - One Levelling Up bid has been successful and two are in progress. If we are successful in all three bids it will attract in the region of £35m investment into the county.
 - The Regional Investment Plan for the Shared Prosperity Fund plan has been produced. 29 interventions across the three pillars (People & Skills, Supporting Local Business, and Communities & Place) effectively describe the scope of eligible activity. Governance arrangements are being established. Potentially £21.2m could be allocated to Denbighshire over three years.
- Regional working on economic development through the Growth Deal, Covid-19 recovery plans, the economic prospectuses that have been agreed with Welsh Government, and the Regional Regeneration Officers' Group for example.
- The Tackling Poverty Operational Group (DCC and Partners) is still in place and meets to highlight and address issues as they arise. It was initially set up to focus on the rollout of Universal Credit but now has a broader focus.
- WG Funding – eg Families First, Flying Start, Communities for Work etc
- As requested by the Welsh Local Government Association, Denbighshire has two named Brexit lead contacts: Corporate Director: Economy and Public Realm and the Leader.
- Regular contact with Welsh Government and the Welsh Local Government Association.
- Teams within Planning, Public Protection and Countryside Services are available to advise businesses, including the agricultural sector,
- The Corporate Procurement service will work with Services' contract managers to identify the critical contracts and mapping their supply chains.
- Services identified supply chains that could be at risk during negotiations around Brexit.
- The council was represented on the WLGA Brexit Working Group.
- The Statement of Accounts considers Brexit and the impacts of Brexit.

Corporate Risk Register (September 2022)

Ancillary controls (newest first):

- We submitted evidence about the Social Partnership and Public Procurement (Wales) Bill to the Equality and Social Justice Committee's Inquiry in July 2022. Preparatory work will be needed to support and mobilise the local supply chain to ensure it is well-positioned to fulfil the requirements of the Bill, once in statute. The local supply chain, especially smaller businesses, will require some form of capacity building to fully understand social value, particularly within tenders where the social value response will need to be evaluated. It will be necessary to ensure consistency of message and support, and to share best practice in relation to supporting small and medium-sized businesses to become compliant and fully embrace the ethos of the Bill.
- Managers ensure the Communications Team is fully briefed, as early as possible, on any situation that may cause significant reputational loss. The Communications Team manage media and public relations and internal communications on the matter.
- SLT and Cabinet are regularly briefed on emerging areas of concern.
- The regeneration and economic development team will consider opportunities to lobby for green/sustainable solutions to increases in the cost of fuel and energy.
- Ensured that Brexit preparedness materials are available to businesses including funding from the £10 million Brexit readiness fund.
- Communication with Social Care Wales to identify risks to agricultural communities.
- Links to the Business Wales Brexit Portal has been added to the business support pages of the DCC website.
- UK Government Brexit information being shared across social media (details found in internal updates).
- Working with relevant trade bodies (such as FSB, Chambers of Trade etc.) and the Rural Development body Cadwyn Clwyd for next steps / advice clinics.
- Meetings held with the Farming Unions to gauge what concerns have been raised by their members in the run up to Brexit, liaise with Business Improvement and Modernisation on issues raised.

Corporate Risk Register (September 2022)

- Provide input where possible to inform any new agriculture policies to be introduced by Welsh Government.
- Risk added to Planning, Public Protection and Countryside Services Risk Register: "Brexit - Negative impact of leaving European Union with a "No Deal".
- Promotion of the "Fit for Farming" booklet and wellbeing support from the DPJ foundation.
- Regular updates from professional bodies liaising with central government departments on behalf of all local authorities 3bn Fund.
- Direct work involving the farming community has largely been devolved to Cadwyn Clwyd and farming connect, who are providing advice.
- Welsh Government with Defra and other devolved administrations has developed a UK-wide contingency plan in response to the potential impacts on the sheep sector and funding may be available in the future.
- RTCB has considered risks associated with population estimate inaccuracies and the potential impact on future funding. There is a Welsh Government funding floor which would help mitigate any impact, if this issue should transpire (in which case impact would be felt in 2022-23). RTCB will continue to monitor this risk.

Residual Risk

B2 - Critical Risk: Likely / High Impact

Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

Critical risk. Risk Appetite suggests that this should be at most a moderate risk. The Risk Owner has confirmed that they are comfortable that the scoring accurately reflects the current risk to the council.

Corporate Risk Register (September 2022)

Risk 37: The risk that partners don't have the resources, matching priorities or commitment to support delivery of shared plans and priorities, and in particular, fail to reduce inequalities and deprivation

Lead Member(s): Councillor Jason McLellan

Risk Owner: Nicola Stubbins

September update:

The description has been updated with the latest position. The controls have been updated.

The risk score has not changed but the risk is considered to be within our risk appetite.

Description

With finite resources and competing priorities, there is a risk of a lack of commitment or capacity available to support realisation of shared plans and priorities.

Denbighshire is not a homogenous community but is made up of a diverse range of different communities where income, education, employment opportunities and housing all vary substantially. Within this diverse mix are communities with high concentrations of multiple-deprivation including some parts of Rhyl and Upper Denbigh within Denbighshire. Despite our, and our communities', clear pride in our areas, deprivation and inequality remain intractable problems that require a 'one public sector focus'. Rhyl West 2 ranks as 'the most deprived ward' in the whole of Wales, and Rhyl West 2 the second according to the Wales Index of Multiple Deprivation.

Overall household income levels in Denbighshire are lower than the national average and a greater proportion of households are estimated to be in poverty, many of which are households with children. There is evidence of higher than average in-work poverty. Based on our analysis of claimant rates, the recent increase in the claimant count, and the time we expect it will take for the employment rate to recover, poverty and destitution, with

Corporate Risk Register (September 2022)

food and fuel poverty, will be issues affecting adults and families with children over the next five to ten years at least.

What is more, increases to the cost of living is becoming an increasing risk to communities and the council, whereby our capacity to support people struggling with the cost of living may be limited or people may make decisions about how they allocate their household budget, prioritising rent or mortgage over council tax, for example.

There is health inequality within the area. People living in the areas in the most deprived fifth of Denbighshire not only have a shorter lifespan, but also spend less of it in good health compared to those living in the least deprived fifth. There is a difference of over 17 years of healthy life expectancy for females in Denbighshire's most deprived areas when compared to the least deprived. Despite overall increases in life expectancy, the gap between the proportion of life expected to be spent in good health in the most and least deprived areas has shown no clear sign of reducing in the last ten years.

Geographical access to key services forms part of the Welsh Index of Multiple Deprivation 2019 (WIMD 2019). This domain of the WIMD considers the average travelling time to access a range of services considered necessary for day-to-day living, including access to a pharmacy and GP surgery, food shop or primary school for example. As of 2019, the domain now includes a new digital indicator (percentage of unavailability of broadband at 30Mb/s). 14 lower super output areas (LSOAs) in Denbighshire feature in the 10% most deprived in Wales for access to services. These data tell us primarily about travel times to physically access services and indicate a significant population who are likely to suffer poor physical access to services or to be significantly reliant on private transport. That more LSOAs in feature in the 10% deprived in Wales in 2019 for access to services than five years ago, is probably likely to the additional indicator measuring broadband.

Anticipated direction of travel:

Covid-19 has put external pressure on the council and its partners to deliver services; this is likely to be the case into the medium term.

The consequences of Covid-19 have resulted in significant impacts for people's economic and educational outcomes, their physical and mental health, and well-being more

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generally. As a result of Covid-19 we have already seen exacerbated inequalities (with people from non-white ethnicities being more likely to die from Covid-19) and these are likely to continue for the medium and long term. The prevalence of 'long Covid', the term used to describe continued symptoms of Covid-19, is likely to compound existing inequalities in the same way Covid-19 has.

We therefore do not expect the risk to diminish in likelihood or severity soon.

Impact / Consequences

- Objectives not delivered.
- Issues/problems that provided justification for the priorities continue or deteriorate.
- Failure to maximise opportunities to collaborate to resolve issues no single organisation is responsible for or capable of resolving on its own.
- Ineffective management of expectations among partners/public leading to reputational damage.
- Investment of council resources with minimal return.
- There will be greater demands this year to manage recovery from Covid-19, with pressures on the front line.
- Increases in cost of living leads to reduced income for the council, eg reduced council tax.

Inherent Risk

B1 – Critical Risk: Very Likely / High Impact

Controls to Manage Risk (in place)

Critical controls (newest first):

- Denbighshire County Council's corporate plan is being developed in the context of local need and regional priorities. A detailed engagement and well-being assessment to assess need in the local area is currently being consulted on. These

Corporate Risk Register (September 2022)

pieces of work are informing the development of the new Public Service Board's (PSB) Well-being Plan and the council's new corporate plan.

- The PSB's draft Well-being Plan has undergone formal consultation, including with the Well-being of Future Generations Commissioner. The Plan is due to be approved by PSB in November 2022, after which formal agreement will be sought from statutory partners. The draft plan had one area of focus: Conwy and Denbighshire to be a more equal place with less deprivation.
- The implementation of the Welsh Government's announcement to fund the Real Living Wage for registered social workers.
- Denbighshire is represented at collaborative boards by senior managers and / or political leadership, for example, at the Regional Partnership Board, Economic Ambition Board, and Regional Leadership Board.
- Collaborative plans and priorities (for instance, the PSB's Well-being Plan) has been developed to reflect broader public sector priorities across the two counties.
- Regional working to manage the Covid-19 pandemic through the Strategic Coordination Group is working well with all partners present and working together.

Collaborative partnership	Collaborative plan/strategy
Conwy and Denbighshire PSB	Well-being Plan
North Wales Economic Ambition Board	Growth deal
Regional Partnership Board	Transformation Programme and Regional Priorities

Ancillary control:

- Managers ensure the Communications Team is fully briefed, as early as possible, on any situation that may cause significant reputational loss. The Communications Team manage media and public relations and internal communications on the matter.

Relevant indicators of the effectiveness of controls:

Corporate Risk Register (September 2022)

- The Welsh Index of Multiple Deprivation (WIMD)

Other qualitative data will be able to describe what effective capacity and skills looks and feels like when it cannot be measured. Such as:

- Production of the Public Service Board's Well-being Assessment and Well-being Plan
- Delivery of the Rhyl Regeneration Board's plans and other community development programmes
- Activity: CSS20/4002a Work with partners to focus on recruitment to care and career pathways for young people – Agencies (Imogen Blood) / Micro enterprises / FE Colleges /Volunteer groups

Assurance:

- Feedback from the Welsh Government and the Well-being of Future Generations Commissioner on the Public Service Board's Well-being Assessment and Well-being Plan.

Residual Risk

C2 – Major risk: Possible / High Impact

Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

Yes. On the basis now, that this risk fits within our open risk appetite in relation to operational and policy delivery.

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Risk 43: The risk that the council does not have the funds or resources to meet its statutory obligations under the Additional Learning Needs and Education Tribunal (Wales) Act 2018

Lead Member(s): Councillor Gill German

Risk Owner: Geraint Davies

September update:

The description and controls have been updated.

The risk score remains D2 – Major risk: Unlikely / High Impact, and remains outside of our risk appetite. However, given provisions came into force one year ago, the high assurance from the recent early review by Internal Audit, and planned scrutiny by Performance Scrutiny Committee, we recommend this risk is de-escalated and managed by the Service. Should the risk increase at any point, it can be escalated back to the corporate risk register for Cabinet and SLT intervention.

Description

The Additional Learning Needs and Education Tribunal (Wales) Act, 2018 has replaced the Special Educational Needs Code of Practice for Wales (2002). This new Act is supported by regulations and an ALN Code. The Act replaces the terms 'special educational needs' (SEN) and 'learning difficulties and/or learning disabilities' (LDD) with the new term 'additional learning needs' (ALN). The Act has created a single system, with a single statutory plan, the Individual Development Plan (IDP). This plan replaces existing plans, such as Individual Education Plans (IEPs), Statements of SEN and Learning and Skills Plans. The provisions of the Act came into force in September 2021.

The Act places a range of duties on local authorities in relation to additional learning needs (ALN), which can be grouped as follows:

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Specific duties - in relation to individual learners (usually those in their area) such as duties to maintain individual development plans (IDPs) for some learners (including learners who are dual registered and those with more complex needs) and the duty to reconsider decisions made by school governing bodies.

General duties - to support the functioning and effectiveness of the ALN system – including the duty to provide information and advice and the duty to keep additional learning provision under review.

In addition, local authorities have general education functions - related to maintaining schools and the provision of education, including intervention powers where schools fail to perform their duties.

Local authorities will be directly responsible for meeting the needs of children and young people with the most complex and/or severe needs, those who do not attend a maintained school or FEI in Wales (including those below school age).

Following clarification from Welsh Government around some aspects of the ALN Code, including Elective Home Education and Looked After Children, we are working through the Code to ensure appropriate policies and procedures are in place.

Delivery of the legislation and guidance around capacity, is not cost neutral.

This risk was escalated from the Education and Children's Service Risk Register to reflect both the residual risk score, and the wide-ranging implications for other areas of the council (adult's services, legal, procurement and so on). However, given provisions came into force one year ago, and the high assurance from the recent early review by Internal Audit, and planned scrutiny by Performance Scrutiny Committee, we recommend this risk is de-escalated and managed by the Service. Should the risk increase at any point, it can be escalated back to the corporate risk register for Cabinet and SLT intervention.

Anticipated direction of travel:

This risk is still beyond our appetite. It is a new piece of legislation that is prompting significant change in working practices, and there are capacity/budgetary implications and constraints. However, once the new Act is embedded, and processes procedures and

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systems are embedded in schools, *and this work becomes business as usual*, the risk will decrease. There will always be a risk associated with not meeting individual learner's needs however, but we are now in a position to manage that risk at a service level, in Education and Children's Services risk register. We anticipate the likelihood becoming rare but the impact will always remain high.

Impact / Consequences

Not meeting the requirements of the Act could have an impact on learners with ALN and would have regulatory and reputational consequences for the authority, including potential legal and financial implications. There is also the potential for increased demand on services. There is a budget pressure and we are anticipating, across Wales, an increase in disputes, which could impact on other services (legal services), and increase the risk for reputational damage.

Inherent Risk

B2 – Critical risk: Likely / High Impact

Controls to Manage Risk (in place)

Critical controls (newest first):

- A [paper](#) was presented to Performance Scrutiny Committee on July 14, 2022. The Committee has requested an updated report in the summer of 2023.
- A position update paper was presented to SLT in February 2022. This paper set out, in detail, the approach taken by the council to implement the legislation Denbighshire continues to work collaboratively with colleagues across the region and we are leading on the Educated Other Than At School (EOTAS) and Looked After Children (LAC) working groups.
- A comprehensive training programme is ongoing.
- Schools have been completing a 'Costed Provision Map', which is a recording spreadsheet for them to show the amount of funding that is being spent across the school on learners needing support. Proposals for amendments to the 3 year rolling

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average budget were presented to the School Budget Forum in July 2022 and agreed.

- The Eclipse IT system is now live in Denbighshire with local authority and school staff now having access. As part of this ongoing collaboration, a Memorandum of Understanding has been established to avoid duplication of effort.
- We have conducted a review of the Team Around the School (TAS) and this will be an ongoing process to ensure that the TAS continues to function well and provide the support needed.
- We are working with schools to map out provision that ranges from universal to targeted. The strategy to review provision is currently in development, though not completed.
- We are working regionally to ensure consistency. A comprehensive 'Inclusion Guidance' document is in the process of being finalised, which will signpost schools to relevant parts of the ALN Code and highlight key local authority processes around Inclusion. This is a working document that was shared with schools, and is currently being refined before re-sharing with schools (on Sharepoint).
- The Additional Learning Needs Education and Tribunal Act Wales 2018, has placed upon the Local Authority the duty to determine if a child has additional learning needs from birth if requested to do so by health, parents or any other source. In response to this new duty, the Pre School Team have extended the universal service to provide advice and guidance to all childcare providers. Prior to the implementation of the Act, 39 funded pre-school settings were supported by the central team; this has now increased to 96 pre-school childcare providers to include childminders and private day care settings. This has been achieved with no additional cost through collaboration between Flying Start, Family Link Service, the existing Pre-School SEN team and the creation of the Pre - School Outreach Service. The new system supports early identification and intervention with the view to enabling children with developmental delay to progress. Close collaboration between these services has provided an additional benefit in enabling a holistic approach incorporating support for children and families.

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- There are ongoing budget requirements associated with implementation, for example recruiting Educational Psychologists, additional learning team members or implementing and housing the Eclipse IT system.

Ancillary control:

- Managers ensure the Communications Team is fully briefed, as early as possible, on any situation that may cause significant reputational loss. The Communications Team manage media and public relations and internal communications on the matter.

Relevant indicators of the effectiveness of controls:

- CH012i: The number of negative reports from external regulators
- CUECS: The % of external complaints upheld or partly upheld over the last quarter
- QECSM24: The percentage of assessments for children completed during the year that were completed within 42 working days from the point of referral

Other qualitative data will be able to describe what effective capacity and skills looks and feels like when it cannot be measured. For example, ALN being identified (by Estyn) as a recommendation for schools going into a statutory category, or learners' responses to the Pupil Attitudes to Self and School (PASS) survey.

Assurance:

- A [paper](#) was presented to Performance Scrutiny Committee on July 14, 2022. The Committee has requested an updated report in the summer of 2023.
- [Internal Audit early review: Additional Learning Needs \(ALN\) Implementation](#) – February 2022 (High Assurance / Number of Risk Issues: 0)
- GwE, with its support improvement advisors, routinely monitor, challenge and support schools. The council has identified ALN as a priority in GwE's forward work programme for the year.
- School inspections by Estyn, as and when they occur.

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Residual Risk

D2 – Major risk: Unlikely / High Impact

Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

No. Major risk. Risk Appetite suggests that this should be at most a minor risk. As our mitigating actions progress over the next year, we would expect to see the residual risk reducing and brought closer to our risk appetite. We expect the likelihood to reduce, although the impact, should the risk occur, is anticipated to remain medium or high.

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Risk 44: The risk of Ash Dieback Disease (ADB) in Denbighshire leading to significant health and safety issues that represent a potential risk to life

Lead Member(s): Councillor Barry Mellor

Risk Owner: Emlyn Jones

September update:

The senior responsible owner of the project and therefore the owner of this risk has changed and is now Head of Planning, Public Protection and Countryside Services. He will continue to work closely with the Interim Head of Environmental Services, together with service managers.

The description of the risk has been updated.

When this risk was first identified and developed, our intelligence about the ash tree population was very limited. Following our risk-based approach to inspections, we have developed a much clearer view of the ash tree population and are dealing with those trees where remedial action needs to be taken more urgently. On the basis of better intelligence, we have re-evaluated and adjusted both the inherent and residual level of risk. The inherent risk has been re-categorised from A1 – Critical Risk: Almost certain / Very high impact to B1 – Critical: Risk Likely / Very high impact. The residual risk has decreased from B2 – Critical Risk: Likely / High impact to C2 – Major Risk: Possible / High impact. The risk remains outside of our risk appetite.

The due date for completion of further action number 1 has been extended to reflect a loss in personnel. An additional further action has been agreed: “2. Seek clarification about the council’s legal responsibilities and duties in relation to ash trees on private land”.

Description

ADB is already present in Denbighshire, and our management of ADB will not be "business as usual". There will be a need for changes in management practice.

Corporate Risk Register (September 2022)

As time is progressing, we are developing a better view of the scale of the issue. We have taken a risk-based approach to our inspections; focussing initially on trees in highest risk areas, i.e. our busiest highway routes, particularly trees along the highway on gritting routes. More than 10,000 tree assets - including circa 8,000 ash trees - have been inspected categorised, and logged on our new software system. We are developing a clearer view of the condition of those trees in our riskiest areas and we are still working on getting a county-wide picture of the issue. Now in year 2 of the project, we are returning to some of the areas identified as problematic, as well as other areas of land, to review the position now.

The Project Manager has been off work for some time and that post has been covered by one of the existing tree inspectors. Once the substantive Project Manager is back in post, we will return to having three inspectors and will continue to work through a programme of inspections. The project has therefore faced some delays and this is reflected in the timescales for the draft action plan.

We are still working to deliver a draft ADB action plan and have extended the deadline to the end of this financial year to reflect the capacity issues we have been facing. The draft will then progress through the scrutiny and political process.

The draft ADB Action Plan will cover a number of issues, including how we plan to deal with trees not owned by DCC (we have also agreed a new further action below to reflect this), and how we plan to manage our own tree stock. The tree inspectors will have a key role in both scenarios. One of the key principles of the Action Plan will be that no DCC-owned tree will be removed unless it is entirely necessary to do so. Monitoring and low-level remedial work will be undertaken, where possible. We will also encourage landowners to take a similar approach.

Anticipated direction of travel:

When this risk was first identified and developed, our intelligence about the ash tree population was very limited. Following our risk-based approach to inspections, we have developed a much clearer view of the ash tree population and are dealing with those trees where remedial action needs to be taken more urgently. On the basis of better intelligence we have re-evaluated and adjusted both the inherent and residual level of risk.

Corporate Risk Register (September 2022)

Once the draft ADB action plan is approved and starts to be delivered, we anticipate that the residual risk will be further reduced and brought closer to, but perhaps not within, our risk appetite. We expect the likelihood to reduce over the next 5 to 10 years, although the impact is anticipated to remain high. There are no performance measures currently available to quantify progress in reducing this risk, however this will be reviewed once the action plan is in place.

Impact / Consequences

The impact is likely to be far reaching, across various council services and communities themselves.

- Public safety.
- Increased liability.
- Considerable impact on landscape - dead and dying ash trees across the county.
- Impacts on statutory functions and service delivery.
- Staff safety.
- Significant budgetary implications.
- Disruption to infrastructure and communities.
- Political and reputational impact.
- Reduced carbon absorption due to a loss of trees.

Inherent Risk

B1 – Critical Risk Likely / Very high impact

Controls to Manage Risk (in place)

A proactive approach is necessary to understand how many ash trees are in the county and prepare an ADB action plan. Capacity and resources will need to be secured to achieve this.

Critical controls (newest first):

- Ash Dieback Board met last in August 2022

Corporate Risk Register (September 2022)

- This risk was discussed by CET as part of a risk deep dive session on 7th January. The purpose of the discussion was to determine the effectiveness of controls and to seek some assurance around the planned approach with the draft ADB action plan and budget. During that discussion it was agreed that Highways and Environmental Services would take responsibility for all DCC trees, regardless of which service owns the land.
- Trees along our gritting routes have been inspected. We've been taking steps to deal with those trees where remedial action needs to be taken more urgently. We will be expanding inspections across the county – this work will be extensive.
- The aim is to have a draft corporate ADB Plan in place by the end of March 2023, but the impact of ADB will need to be managed for the next 5-10 years.
- In the course of the inspections currently underway, which are being based along our critical routes, we are identifying instances that pose an imminent health and safety risk. Where these are found we are taking action to deal with the risk immediately. This is helping us to bring the risk under a little more control.
- Ash Dieback is anticipated to have a significant impact over the next ten years. Our action plan to tackle the issue will require resourcing. It was agreed at CET that we would use cash to fund any necessary remedial work for now, whilst we establish whether there is a need for anything more formal/permanent. We have an existing reserve, and an annual revenue budget for this purpose. If this proves to be inadequate to deal with urgent health and safety risks, the project sponsor will raise this as a revenue pressure. We have a revenue budget and reserve for ADB – particularly for trees posing a danger - and will highlight any budgetary pressures following that. The estimated cost of dealing with the current sample of inspected trees (worst case scenario) is potentially significant, around £2m.
- Project updates are reported on a regular basis.
- A briefing paper on our approach went to Cabinet in December 2019.

Ancillary controls (newest first):

- Managers ensure the Communications Team is fully briefed, as early as possible, on any situation that may cause significant reputational loss. The Communications

Corporate Risk Register (September 2022)

Team manage media and public relations and internal communications on the matter.

- The issue is so significant we are focussed solely on critical controls at this stage.
- Whilst no formal collaboration is in place, we will work with neighbouring authorities informally. We have agreed to meet regularly with Conwy to discuss progress informally; to learn from one another's experiences, and to ensure we deal with the problem efficiently - doing things once.
- Carbon absorption and biodiversity improvement, with favourable replanting/habitat/land management ratio, will be considered as part of the ADB action plan.

Relevant indicators of the effectiveness of controls:

- Under development but delivery of the action plan will demonstrate effective control measures have been implemented. Likely indicators to be available include the number of inspections and percentage of inspected trees in highest category of risk.

Assurance:

- Internal Audit Review Risk Management 2021

Residual Risk

C2 – Major Risk: Possible / High impact

Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

Major risk. Risk Appetite suggests that this should be at most a moderate risk. Our management of this difficult risk is in its early stages but progress is being made. Our current score reflects this and the serious potential for death or injury. Once our action plan is agreed and starts to be delivered (the action plan will be a 5-10-year effort), we would expect to see the residual risk reducing and brought closer to within our risk

Corporate Risk Register (September 2022)

appetite. We expect the likelihood to reduce, although the impact is anticipated to remain high.

Further Actions

1. Draft Corporate Ash Dieback Action Plan

Action plan will be informed by detailed mapping of the council's ash tree population and condition information, identifying those trees that need to be made a priority based on the level of risk.

Action Due Date: 31/03/23

Person Responsible: Emlyn Jones

2. Seek clarification about the council's legal responsibilities and duties in relation to ash trees on private land

Action Due Date: 31/03/23

Person Responsible: Emlyn Jones

Corporate Risk Register (September 2022)

Risk 45: The risk that the council fails to become a net carbon zero and ecologically positive council by 2030.

Lead Member(s): Councillor Barry Mellor

Risk Owner: Nicola Kneale

September update:

Controls have been updated, including links to indicators and assurance.

The action to “Ensure all of SLT, including any new members, attend one-day carbon literacy training” has been extended in light of the anticipated restructure at SLT and to reflect the current interim heads of service. A new action to roll out ecological literacy training in the spring 2023 has been added.

The risk score has not changed.

Description

Since declaring a Climate Change and Ecological Emergency in July 2019, we have developed a Climate and Ecological Change Programme to become a net carbon zero and ecologically positive council by 2030.

Anticipated direction of travel:

This risk is currently beyond our risk appetite. Our management of this difficult risk is in its early stages but progress is being made. Following positive feedback from Audit Wales on our programme management and organisational ambition on this agenda we are reassured that we have a well-scoped action plan in place. This risk will require close and very regular management to ensure controls are working as intended. We previously expected the likelihood to reduce, although the impact is anticipated to remain high. However, a national report about the public sector’s response more generally, to becoming carbon neutral by 2030, broadly says organisations need to be bold and take risks if they are to stand a chance of meeting this ambitious target. We have committed to reviewing our programme after two years (see further action below). At that point we will probably

Corporate Risk Register (September 2022)

need to increase momentum, make bolder decisions and be prepared to tolerate greater risks in order to become net carbon zero.

Impact / Consequences

- The impact of not fulfilling our programmes and realising benefits could result in poor social, cultural, economic and environmental outcomes. This could result in us not meeting our carbon reduction and absorption targets and not maximising benefits such as flood alleviation, urban cooling, contributing to keeping to temperature rise to 1.5 degrees or lower.
- Damage to reputation
- Financial liabilities
- Regulatory liabilities
- Deteriorating Staff morale
- Inability to meet statutory obligations

Inherent Risk

A1 – Critical Risk: Almost Certain / Very High Impact

Controls to Manage Risk (in place)

Critical controls (newest first):

- We are developing a programme for 2023 and 2024, including recruiting a procurement business partner to reduce emissions in our procurements. Other roles being explored will largely be expansions of existing roles and teams.
- A “deep dive” paper was presented to CET in November 2021, to explore what we could do to reduce the gap in our risk appetite. It was concluded that we should tolerate uncertainty around this the risk for the next 2 years, by the end of which time we should have sufficient information (about our costs, capacity and the results we have achieved to date), to determine whether we are likely to become net carbon zero. A national report about the public sector’s response more generally, to becoming carbon neutral by 2030, broadly says organisations need to be bold and

Corporate Risk Register (September 2022)

take risks now if they are to stand a chance of meeting this ambitious target. At the point our review, we will probably need to increase momentum, make bolder, braver decisions and be prepared to tolerate greater risks in order to become net carbon zero.

- Climate Change team has been established, with a programme board in place. Resource plans are in place for services for key areas of the Climate and Ecological Change Programme.
- The Climate and Ecological Change programme actively seek opportunities for external grant funding
- Introduction to Climate Change training is available to all staff. Most of the Senior Leadership Team have attended a one-day accredited Carbon Literacy course. Intranet pages launched to increase awareness of staff to the contribution they can make.
- Active participation in national, regional and local strategy and operational groups to leverage benefits from collaboration.
- We are anticipating some feedback from Audit Wales regarding performance and judging success of the Climate and Ecological Change programme and how the Council will ensure resources are in place to deliver the programme.

Ancillary controls:

- Effective programme management is in place, including communications and risk management.
- Managers ensure the Communications Team is fully briefed, as early as possible, on any situation that may cause significant reputational loss. The Communications Team manage media and public relations and internal communications on the matter.

Relevant indicators of the effectiveness of controls:

- NCZCORP: Net Carbon Zero - Total carbon tonnage emitted and absorbed by the council (excluding supply chains)

Corporate Risk Register (September 2022)

- STOTALCORP: Total carbon tonnage sequestered (Corporately) for the Net Carbon Zero goal
- SRHIGHCORP: Percentage of DCC owned and operated land in highest categories of species richness
- SRLOWCORP: Percentage of DCC owned and operated land in lowest categories of species richness

Assurance:

- Internal Audit Review planning prompts for testing-related controls in all relevant projects
- Office Accommodation Internal Audit Review 2020
- Included in Internal Audit 2022/23 plan
- Audit Wales – Delivering Environmental Ambitions 2020-21

Residual Risk

B2 – Critical Risk: Likely / High

Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

Critical risk. Risk Appetite suggests that this should be at most a minor risk. Our management of this difficult risk is in its early stages but progress is being made. We expect the likelihood to reduce, although the impact is anticipated to remain high. It is unlikely that this risk will be brought closer within our risk appetite for some time to come. Although, clearly, our ambition is to meet the target, we hope to be able to reduce the impact of the risk closer to 2030 once sufficient benefits and positive impacts have been achieved.

Corporate Risk Register (September 2022)

Further actions:

- 1. Ensure all of SLT, including any new members, attend one-day carbon literacy training**

Action Due Date: 31/03/2023

Person Responsible: Jane Hodgson

- 2. New action: Roll out ecological literacy training in the spring 2023**

Action Due Date: 31/03/2023

Person Responsible: Jane Hodgson

- 3. Conduct a review at the end of year two to map benefits against resources**

Action Due Date: 31/03/2023

Person Responsible: Jane Hodgson

Corporate Risk Register (September 2022)

Risk 47: The risk that the new North Wales Corporate Joint Committee (CJC) results in the council having less influence and control at a local level

Lead Member(s): Councillor Jason McLellan

Risk Owner: Gary Williams

September update:

The description and anticipated direction of travel have been updated with the latest position.

The risk score has not changed.

This risk is being recommended for removal, potentially to be managed elsewhere, in relevant service risk registers should it still be considered a risk.

Description

The Local Government and Elections (Wales) Act 2021 created provision for the establishment of Corporate Joint Committees (CJC). The new North Wales CJC has been established with responsibility to lead, on behalf of the region, on three key functions:

1. Strategic development planning
2. Regional transport planning
3. Regional economic development

It is currently supported by the six local authorities and Snowdonia National Park. It has been agreed in principle that the NWEAB will become a sub-committee of the CJC, although some regulatory changes will be needed to enable that to take place.

The CJC set its budget in January 2022. The functions of the CJC became “operational” in June 2022, but detailed arrangements are still being discussed and explored in line with

Corporate Risk Register (September 2022)

the long term nature and focus of the CJC. Scrutiny arrangements have yet to be confirmed.

The CJC offers opportunities to establish a strategic and regional approach to these three functions to develop Denbighshire's economy and communities. However, there is a risk that there is insufficient clarity, time and engagement to capitalise on these opportunities. There is a risk that the council puts in a lot of effort but doesn't receive a proportionate return on investment, or a risk of reduced local oversight. Conversely, there is also a risk that the CJC is not used to maximum benefit.

Anticipated direction of travel:

We anticipate that this risk will reduce, and potentially disappear once the CJC is fully established and operational. However, the risk should be re-evaluated by Cabinet at Cabinet Briefing before it being removed from the risk register. There are no performance measures currently available to quantify progress in reducing this risk.

Impact / Consequences

- Failure to agree a regional approach to the workings of the CJC.
- Failure to agree the budget annually.
- Risk of confusion between the CJC and the North Wales Economic Ambition Board, although somewhat mitigated by the agreement in principle (see above).
- Failure to maximise opportunities for the benefit of communities and businesses in Denbighshire.
- Poor services.
- Disproportionate return on investment.

Inherent Risk

C2 – Major Risk: Possible / High Impact

Controls to Manage Risk (in place)

Critical controls:

Corporate Risk Register (September 2022)

- Denbighshire's Leader is a member of the North Wales CJC
- We continue to meet internally to discuss the CJC (CET plus Leader, Deputy Leader and Head of Planning, Public Protection and Countryside Services)
- The North Wales Chief Executives are monitoring the implementation of the CJC and a project is in place to support monitoring to take place.

Ancillary controls:

- Managers ensure the Communications Team is fully briefed, as early as possible, on any situation that may cause significant reputational loss. The Communications Team manage media and public relations and internal communications on the matter.

Relevant indicators of the effectiveness of controls:

- The CJC will eventually be subject to performance reporting requirements.

Assurance:

- Scrutiny arrangements are to be confirmed.
- The North Wales CJC will have its own Governance and Audit Committee.
- The North Wales CJC will have its own Standards Committee arrangements.
- CJC's are likely to be subject to audit arrangements that are similar to local authorities, for example by Audit Wales

Residual Risk

D3 - Moderate Risk: Unlikely / Medium

Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

Yes

Corporate Risk Register (September 2022)

Risk 48: The risk that recruitment and retention issues, leading to a loss of expertise and capacity, worsen resulting in poor or inadequate services

Lead Member(s): Councillor Julie Matthews

Risk Owner: Graham Boase

September update:

The controls have been updated. Planned assurance has been added to our controls.

While pressures in relation to recruitment and retention in social care and health in particular, are acute the risk level across the organisation and across all services remains the same as it was in February 2022 and so the risk score has not changed.

Description

Many services have been struggling to recruit and retain staff for some time, particularly – but not limited to - critical front line social care and health and highways and environment roles. This is a national issue for the care sector. At the root of this are many factors, including the relatively low wages, high demands, and sometimes a perceived lack of esteem/value in the care career path in particular. There are also some regional pressures associated with neighbouring employers offering higher salaries.

The behaviour changes resulting from social-distancing measures - with the pivot to home working now common in many workplaces – means people are now able to apply for jobs from across Wales, UK and beyond.

Furthermore, one emerging consequence of Covid-19 is that people are reassessing their situation and ambitions and are making different life choices, which sometimes involves leaving their roles.

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With the resurgence of the hospitality and retail sectors following Covid-19, potential new employees and some existing employees (whether employed by the council or an agency), are taking positions in these sectors instead.

These changes also present opportunities, with the council being able to position itself to attract a wider pool of talent from a much larger geographical area.

Please note: EU Nationals within DCC were required to apply to the Settled Status Scheme to remain working in the UK. The deadline has now passed. The risk associated with EU nationals was mitigated and the Brexit risk register has been closed.

Anticipated direction of travel:

The risk, in terms of its likelihood and impact, is not fully understood at present. What is more, the severity of the risk will not be the same for all services (for example, in relation to [risk 1](#) and [risk 34](#) (the risk that demand for specialist care cannot be met locally)). There is most acute concern in adult and children's services, followed by concern in highways and environment roles, in environmental health and finance roles for example. We had anticipated that this risk – in terms of for the whole council – would reduce in the medium term but this looks uncertain. Our hope is that this risk will reduce and can eventually be managed solely by Services themselves with support from Legal, HR and Democratic Services. There are no performance measures currently available to quantify progress in reducing this risk.

Impact / Consequences

- Failure to recruit to and retain staff in key roles, including front line positions
- Difficulty in sustaining services
- Difficulty meeting statutory requirements
- Deteriorating staff morale/well-being
- Increased pressure on middle and senior managers
- Reputational damage, i.e. the council isn't perceived to be a desirable employer with favourable terms and conditions
- Failure to position Denbighshire as a great place to work

Corporate Risk Register (September 2022)

- Individual(s) experience significant harm or death.

Inherent Risk

B3 – Major Risk: Likely / Medium Impact

Controls to Manage Risk (in place)

Some services are taking specific actions, such as Highways and Environment Service working with Working Denbighshire or Adult's Services working with Communities and Customers to deliver a targeted recruitment programme. This risk though captures the impact on the organisation corporately and the following controls reflect a corporate response. Whilst these controls are regarded as important to undertake, we are not currently certain that they will reduce the risk. There are regional and national pressures around recruitment and retention and some of these pressures may resolve themselves as we recover from Covid-19, for instance.

Critical controls:

- A new group has been established looking a recruitment issues in care. This is chaired by Nicola Stubbins. An action plan has been developed and is being delivered for social care workers. This includes a review of career grades. A new recruitment specialist has been created to support the delivery of the project plan.
- HR completed workforce planning with all services in November 2021, and included discussion about recruitment and retention. The subsequent Corporate Workforce Plan has been discussed with CET and SLT. Recruitment and retention has been identified as a corporate concern and a number of actions have been agreed in the delivery plan. HR are, alongside Services, exploring a range of different strategies that could be put in place to support recruitment activities and help with retention, such as upskilling our own employees; working with partners, job redesign and market supplement payments. Market supplements and other tools have been discussed for some roles, however to date, no market supplements have been implemented.

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- A Real Living Wage (RLW) workshop was held with full Council on September 14, 2021, and options and implications of the Council becoming a RLW employer were discussed. The outcome was:
 - The council would continue to pay all staff on the basis of the nationally negotiated and agreed rates of pay.
 - The current pay offer for 2021/22 would, if accepted, mean that all staff would be paid at or above RLW rates.
 - This is a complex and difficult issue to resolve locally without completing a complete review of the council's pay structure and procurement position which would be time consuming and costly. The payment of RLW across the sector would appear to require a coordinated and consistent national approach.
 - It was recommended that the council engages with the debate at national level to ensure that any future solution is practicable and funded.
- Activities that are likely to be considered in relation to a taking a corporate approach to the issue could include a review of our marketing, recruitment process, and how managers and 121s support learning and development.
- Denbighshire County Council has written to the UK Government following a Notice of Motion that was put before a meeting of Full Council on 12 October 2021. The letter urges UK Government to designate, as a matter of urgency, social care workers as skilled workers, in order that they meet the entry requirements of the post-Brexit points-based immigration system introduced in January 2021.
- Work experience, career grade job roles, apprenticeships are available in the council.
- Work is taking place regionally to tackle particular/acute recruitment issues (such as those in social care and health).
- We are adopting a more commercial, marketed approach to recruitment.
- A real living wage workshop too place with Full Council on 14 September 2021.

Ancillary control (newest first):

- A Corporate Business Continuity Group (CBCG) exists and services should all update business continuity plans regularly.

Corporate Risk Register (September 2022)

- Managers ensure the Communications Team is fully briefed, as early as possible, on any situation that may cause significant reputational loss. The Communications Team manage media and public relations and internal communications on the matter.
- Denbighshire County Council has written to the UK Government following a Notice of Motion that was put before a meeting of Full Council on 12 October 2021. The letter urges UK Government to designate, as a matter of urgency, social care workers as skilled workers, in order that they meet the entry requirements of the post-Brexit points-based immigration system introduced in January 2021.

Relevant indicators of the effectiveness of controls:

- LHRD10i: % of people who started in the last 12 months and who are still working for DCC
- SHR105i: The percentage of services that have completed the annual workforce planning review at Quarter 3

Qualitative indicators (delivery of activities):

- CSS20/4002a Work with partners to focus on recruitment to care and career pathways for young people – Agencies (Imogen Blood) / Micro enterprises / FE Colleges /Volunteer groups
- WFP1a: Refresh the workforce planning template and programme

Assurance:

- A report about recruitment and retention will be presented to Governance and Audit Committee in January 2022.
- A review of recruitment and retention will be undertaken by Internal Audit during January and March 2023.

Corporate Risk Register (September 2022)

Residual Risk

B3 – Major Risk: Likely / Medium Impact

Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

Yes. If operational and policy delivery is regarded as the most significant impact, our risk appetite in this regard is open.

Corporate Risk Register (September 2022)

Risk 49: The risk that the future funding regime doesn't allow the council to continue to support the most vulnerable learners and disengaged young people in the way we have been through EU funding

Lead Member(s): Councillor Gill German and Councillor Jason McLellan

Risk Owner: Nicola Stubbins

September update:

All sections have been updated to reflect the latest position in relation to the Shared Prosperity Fund. The residual risk score has been reviewed and has decreased from A2 – Critical Risk: Almost Certain / High Impact to C3 – Moderate Risk: Possible / Medium Impact. The risk is back within our risk appetite.

Description

The European Structural Fund (ESF) 2014-2020, supported four projects within Denbighshire. For example, ESF supported the TRAC and ADTRAC 11-24 project that provides interventions aimed at vulnerable learners identified as being at risk of disengaging from education.

The effective work and interventions of the TRAC officers have led to more safeguarding concerns being identified. The effectiveness of the project being an integral service in Education and Children's Services has also led to a wider understanding and capacity to support some of our most vulnerable young people. ADTRAC has also proven to be effective in reducing young people at risk of becoming disengaged or NEET (not in education, employment or training).

Funding ceased at the end of the 2021-22 academic year. This risk was identified at a point in time when funding from the ESF was expected to be replaced by a UK Shared Prosperity Fund.

Anticipated direction of travel:

Corporate Risk Register (September 2022)

EU funding has ceased. We previously had low level confidence that some funding will be available. We were confident, given our explicit intention to support vulnerable young people and learners in the Regional Investment Plan (see controls), that this risk could be removed as the Shared Prosperity Fund and the Regional Investment Plan are implemented. However, continued and worsening economic pressures has resulted in a less certain outlook for this risk. It will remain on the corporate risk register until such time funding is confirmed.

Impact / Consequences

The range of interventions available are currently keeping the most challenging, vulnerable and disengaged learners and young people in education, employment or training. A significant proportion of participants are identified as having additional learning needs. This has had a positive impact on Not in Education, Employment or Training (NEET) outcomes. However, we know that this would not be in their best interests. We are also confident we would still see an impact on young people's unemployment.

Loss of this provision could lead to:

- Educational provision that does not meet the needs of learners at risk of disengaging
- More learners leaving school without qualifications and a greater number of young people becoming NEET
- Decrease in school attendance and an increase in exclusions from schools;
- Worse health and well-being, including an increase in the number of learners and young people in Denbighshire with mental health difficulties but not receiving support, particularly boys
- Increased risk of disengaged learners becoming involved in risky and/or anti-social behaviours and the impact of this on families and communities;
- Reduced counselling capacity and availability
- Missed safeguarding opportunities and / or later referrals at child protection level
Greater pressure on wider public services, including significant additional resource pressures on schools absorbing the caseloads

Corporate Risk Register (September 2022)

The worst case scenario, should the UK Shared Prosperity Fund be unavailable, is that, from an education point of view, those disengaged learners will return to school.

Inherent Risk

A2 – Critical Risk: Almost Certain / High Impact

Controls to Manage Risk (in place)

Critical controls (*most recent first*):

- Levelling Up and Shared Prosperity Funding is focussed on addressing issues outstanding after the end of EU funded programmes (capital and revenue funding).
- The Regional Investment Plan for the Shared Prosperity Fund plan has been produced. 29 interventions across the three pillars (People & Skills, Supporting Local Business, and Communities & Place) effectively describe the scope of eligible activity.
- We are working on an assumption that we will be able to draw down Shared Prosperity funding to fund the most critical interventions (TRAC (school-aged) and ADTRAC (non-school aged young people)) that were funded by ESF funds.
- The Plan is explicit about our intention to continue to support this group of young people. We are awaiting feedback from Welsh Government; an announcement is expected in October 2022.
- Potentially £21.2m could be allocated to Denbighshire over three years. Each county will decide how its money is spent. Governance arrangements are being established, and include the creation of a partnership group, to inform and shape decisions around local investment.
- The Budget Board agreed, in February 2022, to temporarily fund the continuation of the project, at risk, in anticipation of a positive announcement about the Regional Investment Plan being made this year. It is expected that we will be able to claim the money back.
- A report (“TRAC and the risks exposed by the conclusion of ESF”) was discussed by SLT in October 2021.

Corporate Risk Register (September 2022)

- The council put in place interim arrangements for managing the Community Renewal Fund for 2021 to 2022.

Ancillary controls:

- We will keep in touch with Welsh Government on the Youth Progression Framework (because TRAC and ADTRAC are interventions to address disengagement and reduce learners and young people from becoming NEET).
- Monitoring updates from WLGA to find out when we have a chance to influence the allocation of the fund.
- Opportunity to lobby more as a region.
- Managers ensure the Communications Team is fully briefed, as early as possible, on any situation that may cause significant reputational loss. The Communications Team manage media and public relations and internal communications on the matter.

Relevant indicators of the effectiveness of controls:

- NEET rate
- Attendance at school

Assurance:

- For now, regular reports to the Regional Engagement Team (EU).

Residual Risk

C3 – Moderate Risk: Possible / Medium Impact

Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

Yes

Corporate Risk Register (September 2022)

Risk 50: The risk that Welsh Government's commitment to eliminate profit from the care of Looked After Children results in an unstable or unsuitable supply of placements

Lead Member(s): Councillor Gill German and Councillor Elen Heaton

Risk Owner: Nicola Stubbins

September update:

The risk has been reviewed and no changes were made.

Description

The Welsh Government's Programme for Government makes a commitment to 'eliminate private profit from the care of looked after children during the next Senedd term'.

The objective of removing profit is a positive one and it has the region's resounding commitment. However, it is imperative that Welsh Government take steps in pursuit of not-for-profit arrangements that do not disrupt children and young people's lives in the short term.

Our key concern is that providers become unsettled and the sufficiency and suitability of placements will be affected, affecting the lives of Looked After Children.

This risk is closely linked to [risk 34](#) (the risk that demand for specialist care cannot be met locally).

Anticipated direction of travel:

This is a new risk, which has been regionally agreed. We will review the anticipated direction of travel as our management of this risk progresses over the next few months.

Corporate Risk Register (September 2022)

Impact / Consequences

- Reduction in the number of placements for Looked After Children both generally and within the region or reasonable travel distance to the region.
- Current placements will be destabilised.
- Reduced investment in the area to develop local supply by private providers.

Inherent Risk

B2 – Critical Risk: Highly likely / High Impact

Controls to Manage Risk (in place)

Critical controls:

- Work with Welsh Government to ensure children are supported as close to home as possible.
- Raise the issues connected with this approach with Welsh Government and stress that a detailed and informed approach, attuned timing, and compatible messaging is essential to the competent management of the journey.
- Identify other alternative provision that is available
- Raise awareness within the Regional Partnership Board and partner organisations.
- Apply caution with the ongoing work of the NWWB and the investments required in ASC
- The Regional Commissioning Board to consider other models such as In-house delivery

Ancillary controls:

- None.

Relevant indicators of the effectiveness of controls:

- Costs associated with care for LAC will be available.

Corporate Risk Register (September 2022)

Residual Risk

C3 – Moderate Risk: Probable / Medium Impact

Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

On the basis that we have an Open Risk Appetite in relation to operational and policy delivery, yes.

Appendix 2: Risk Scoring Matrix

Grading the likelihood of an event

Grade	% chance	Description
A: Almost Certain	Over 70%	Event is almost certain to occur in most circumstances
B: Likely	30% to 70%	Event likely to occur in most circumstances
C: Possible	10% to 30%	Event will possibly occur at some time
D: Unlikely	1% to 10%	Event unlikely and may occur at some time
E: Rare	Under 1%	Event rare and may occur only in exceptional circumstances

Rating the impact of an event

Rating	Time / cost / objectives	Service performance	Reputation	Financial cost
1: Very High	More than 50% increase to project time or cost. Project fails to meet objectives or scope.	Unable to deliver core activities. Strategic aims compromised.	Trust severely damaged and full recovery questionable and costly.	Over £5million

Rating	Time / cost / objectives	Service performance	Reputation	Financial cost
2: High	20% to 50% increase to project time or cost. Impact on project scope or objectives unacceptable to sponsor.	Significant disruption to core activities. Key targets missed.	Trust recoverable at considerable cost and management attention.	£1million to £5million
3: Medium	5% to 20% increase to project time or cost. Major impact on project scope or objectives requiring sponsor approval.	Disruption to core activities / customers	Trust recovery demands cost authorisation beyond existing budgets.	£350,000 to £1million
4: Low	Less than 5% increase to project time or cost. Minor impact on project scope or objectives.	Some disruption to core activities / customers	Trust recoverable at modest cost with resource allocation within budgets	£50,000 to £350,000
5: Very Low	Insignificant increase to project time or cost. Barely noticeable impact on project scope or objectives.	Minor errors or disruption.	Trust recoverable with little effort or cost.	Less than £50,000

The combination of impact and likelihood results in a risk exposure rating of:

Risk Score	Risk Severity	Escalation Criteria
C5, D4, D5, E4, E5	Minor	Risk easily managed locally – no need to involve management
A5, B4, B5, C3, C4, D3, E2, E3	Moderate	Risk containable at service level – senior management and SLT may need to be kept informed
A3, A4, B3, C2, D1, D2, E1	Major	Intervention by SLT with Cabinet involvement
A1, A2, B1, B2, C1	Critical	Significant SLT and Cabinet intervention

Summary of Denbighshire's Risk appetite statement (as agreed September 2020)

Denbighshire County Council's risk appetite in relation to different aspects of council business is summarised below:

- **Reputation and Credibility** – Open risk appetite, willing to consider all options and choose one that is most likely to result in successful delivery with an acceptable level of reward (and value for money). This means we will tolerate minor, moderate or major risks.
- **Operational and Policy Delivery** – Open risk appetite, willing to consider all options and choose one that is most likely to result in successful delivery with an acceptable level of reward (and value for money). Again, this means we will tolerate minor, moderate or major risks.
- **Financial Projects** - Open risk appetite, willing to consider all options and choose one that is most likely to result in successful delivery with an acceptable level of reward (and value for money). As above, we will tolerate minor, moderate or major risks.
- **Financial Treasury Management** – Cautious risk appetite, preference for safe options that have a medium degree of inherent risk and may have some potential for rewards. Within this risk appetite, we will only tolerate minor or moderate risks.
- **Compliance and Regulation - Safeguarding** – Minimalist risk appetite, preference for ultra-safe options where the well-being of individuals is concerned, with a low degree of inherent risk and have a potential for only limited (safe) reward. This means we will only accept minor risks in this area.
- **Compliance and Regulation - Other** – Cautious risk appetite, preference for safe options that have a medium degree of inherent risk and may have some potential for rewards. Again, we will only tolerate minor or moderate risks in this area.
- **People (Workforce) Learning and Development** – Cautious risk appetite, preference for safe options that have a medium degree of inherent risk and may have some potential for rewards. As above, minor or moderate risks only will be tolerated.
- **People (Workforce) Terms and Conditions** – Minimalist risk appetite, preference for ultra-safe options that have a low degree of inherent risk and have a potential for only limited reward. This means we will only accept minor risks in this area.

Corporate Risk Register

The Council's Corporate Risk Register (CRR) contains the Council's most serious risks. It is owned by Cabinet and the Senior Leadership Team (SLT).

We define our risks using a scale of likelihood of the risk occurring and the impact of the risk occurring. We also determine whether the risk is in line with our risk appetite. Risk appetite is the level of risk we are prepared to tolerate or accept in pursuit of our long term, strategic objectives.

The Risk Management Strategy is available [on our website](#).

Risk Score	Risk Severity	Escalation Criteria
C5, D4, D5, E4, E5	Minor	Risk easily managed locally – no need to involve management
A5, B4, B5, C3, C4, D3, E2, E3	Moderate	Risk containable at service level – senior management and SLT may need to be kept informed
A3, A4, B3, C2, D1, D2, E1	Major	Intervention by SLT with Cabinet involvement
A1, A2, B1, B2, C1	Critical	Significant SLT and Cabinet intervention

CONTINUED OVERLEAF

Summary of current corporate risks and score (September 2022)

We have 20 corporate risks on our register. 55% (11) are outside of our risk appetite.

<p>NON-FINANCIAL AND REGULATORY</p> <ul style="list-style-type: none"> • Safeguarding (A1 – Critical Risk Almost certain / Very high impact)¹ • Negative reports from external regulators (C3 – Moderate Risk: Possible / Medium Impact) • Health and safety (E2 – Moderate Risk: Rare / High Impact) 	<p>FINANCIAL</p> <ul style="list-style-type: none"> • Economic environment worsens (council) (B2 – Critical Risk: Likely / High Impact) • Economic environment worsens (businesses and communities) (B2 - Critical Risk: Likely / High Impact) • Alternative models of service delivery (C2 – Major Risk: Possible / High Impact) • Budgetary decisions are not taken or implemented quickly enough (C2 – Major Risk: Possible / High Impact) • Fraud and corruption (E2 – Moderate Risk: Rare / High impact) • Cost of care is outstripping resource (C2 – Major Risk: Possible / High Impact)
<p>OPERATIONAL</p> <ul style="list-style-type: none"> • Ineffective response to a serious event (C3 – Moderate Risk: Possible / Medium Impact) • Demand for specialist care cannot be met locally (B2 – Critical Risk: Likely / High Impact) • Recruitment and retention issues (B3 – Major Risk: Likely / Medium Impact) • Ash Dieback Disease (C2 – Major Risk: Possible / High impact) • Vulnerable and disengaged learners (C3 – Moderate Risk: Possible / Medium) • Placements for Looked After Children (C3 – Moderate Risk: Probable / Medium Impact) 	<p>STRATEGIC</p> <ul style="list-style-type: none"> • Strategic misalignment between the Health Board and the Council (C2 – Major Risk: Possible / High Impact) • Programme and projects don't deliver (B2 - Critical Risk: Likely / High Impact) • Senior leadership capacity and skills (C3 – Moderate Risk: Possible / Medium) • Partnerships and inequalities and deprivation (C2 – Major risk: Possible / High Impact) • Net carbon zero and ecologically positive council (B2 – Critical Risk: Likely / High)

For more information, or to see the full Corporate Risk Register, please contact the strategicplanningteam@denbighshire.gov.uk.

¹ Please note: The risk score has been increased on the basis of our assessment that the chance of this occurring is currently higher than it was previously. Although we do not regard the likelihood as “almost certain to occur in most circumstances” (which is the definition of Risk Likelihood A in our risk methodology), the risk has certainly increased. It therefore feels appropriate to increase the Risk Likelihood score, and that means increasing it from B to A. Increasing the risk score enables the risk to be further prioritised and escalated, which feels appropriate and necessary at this time.

Adroddiad i'r	Pwyllgor Llywodraethu ac Archwilio
Dyddiad y cyfarfod	23 Tachwedd 2022
Aelod Arweiniol / Swyddog	Aelod Arweiniol Polisi, Cydraddoldeb a Strategaeth Gorfforaethol. Barry Eaton Pennaeth Gwella Busnes a Moderneiddio Dros Dro
Awdur yr Adroddiad	Barry Eaton, Uwch Berchennog Risg Gwybodaeth (SIRO)
Teitl	Adroddiad SIRO 2021-22

1. Am beth mae'r adroddiad yn sôn?

1.1 Mae'r adroddiad yn cwmpasu'r cyfnod rhwng **mis Ebrill 2021 a mis Mawrth 2022** ac mae'n darparu gwybodaeth am brosesau llywodraethu gwybodaeth y Cyngor. Mae hyn yn cynnwys gwybodaeth am achosion o gael mynediad di-awdurdod at ddata dan y Ddeddf Diogelu Data, sydd wedi bod yn destun ymchwiliad gan Uwch Berchennog Risg Gwybodaeth CSDD. Mae'r adroddiad hefyd yn cynnwys data am geisiadau Rhyddid Gwybodaeth, Gwybodaeth Amgylcheddol a Diogelu Data a ddaeth i law'r Cyngor, gan gynnwys rhai sydd wedi'u cyfeirio at Swyddfa'r Comisiynydd Gwybodaeth. Mae'r adroddiad hefyd yn cynnwys gwybodaeth am ysgolion Sir Ddinbych.

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

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

3. Beth yw'r Argymhellion?

3.1. Bod cynnwys yr adroddiad yn cael ei nodi gan y Pwyllgor.

4. Manylion yr adroddiad

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

Mae'r adroddiad eleni yn cynnwys mwy o wybodaeth nag yn y blynyddoedd blaenorol oherwydd buddsoddiad cynyddol y Cyngor mewn rheolaeth data diogel, yn cynnwys:

- Mwy o ymgysylltiad â'r ysgolion
- Mwy o amser dynodedig wedi'i neilltuo ar gyfer swyddogion yn y Gwasanaethau Cyfreithiol
- Cydweithio effeithiol ar draws y cyngor drwy gyfrwng y Grŵp Llywodraethu Gwybodaeth sy'n cael ei gadeirio gan Uwch Berchennog Risg Gwybodaeth y Cyngor
- Codi ymwybyddiaeth ar draws yr holl wasanaethau drwy hyfforddiant a chymorth dynodedig.

Ond er gwaetha'r gwelliannau hyn, bu achosion o gael mynediad di-awdurdod at ddata o hyd, a chânt eu disgrifio isod ynghyd â gwybodaeth am rôl y Cyngor wrth reoli Ceisiadau Rhyddid Gwybodaeth, Ceisiadau am Wybodaeth Amgylcheddol a cheisiadau Diogelu Data (Ceisiadau gan Unigolion i Weld Gwybodaeth Amdanynt eu Hunain).

4.1 Torri Rheolau Diogelu Data

Rhwng mis Ebrill 2021 a 31 Mawrth 2022 bu 36 o ddigwyddiadau yn ymwneud â data personol, mwy na'r llynedd pan fu 22.

Tabl 1: Toriadau diogelu data yr hysbyswyd yn eu cylch yn ystod 2021/22

<u>Rheswm dros dorri'r rheolau</u>	<u>Nifer</u>
Unigolyn anghywir wedi cael e-bost	15
Unigolyn anghywir wedi cael llythyr	12
Templed wedi'i lenwi o flaen llaw wedi'i anfon fel atodiad i neges e-bost neu lythyr, yn hytrach na chopi gwag	4
Cyfeiriadau e-bost grŵp yn weladwy yn y blwch CC yn hytrach na'r blwch BCC	1
Galwad wedi'i throsglwyddo'n allanol, yn hytrach nag yn fewnol	1
Unigolyn anghywir wedi cael neges ar ffôn symudol gwaith	1
Gwybodaeth wedi'i golygu'n anghywir	2

Er na ystyriwyd bod yr un o'r digwyddiadau hyn yn rhai y dylid rhoi gwybod i Swyddfa'r Comisiynydd Gwybodaeth yn eu cylch, mae hwn yn gynnydd sylweddol o hyd. Er mai camgymeriadau dynol yn eu hanfod yw'r rheswm sylfaenol dros y toriadau hyn, fel SIRO mae gennyf rai pryderon fod y digwyddiadau hyn wedi dod yn fwy cyffredin oherwydd bod staff swyddfeydd wedi bod yn gweithio i ffwrdd o'u swyddfeydd yn ystod y flwyddyn ac nad oedd ganddynt felly fynediad at yr un prosesau

gwirio ag sydd ganddynt yn eu lleoliadau gwaith arferol. Er mwyn datrys hyn mae gweithdrefnau newydd ar gyfer 'gwirio o bell' yn cael eu harchwilio yn cynnwys:

- Gweld a yw'n bosibl i Microsoft Outlook stopio cynnig cyfeiriadau e-bost allanol yn awtomatig yn y blwch 'derbynnydd' - ar y gweill, TG
- Gweld a fyddai'n bosibl i neges ymddangos yn Microsoft Outlook i gadarnhau a yw'r anfonwr eisiau anfon yr e-bost ai peidio (fel sy'n digwydd pan nad oes unrhyw beth yn y blwch testun, pan nad oes atodiad ac ati.) pan fydd yn mynd at dderbynnydd allanol - ar y gweill, TG
- Pan fo adroddiadau'n cael eu hargraffu gan Staff Cymorth Busnes ar ran aelod arall o staff sydd ddim yn y swyddfa, bod yr adroddiad yn cael ei argraffu a'i sganio'n ôl at yr aelod perthnasol o staff i'w wirio cyn i'r adroddiad gael ei bostio - ar y gweill, Gwasanaethau Cymdeithasol

Mae hyfforddiant gloywi ar ddiogelu data wedi ei lansio ar gyfer pob aelod o staff, sy'n cynnwys cyngor ar reoli data'n effeithiol wrth weithio i ffwrdd o'r swyddfa.

4.2 Ceisiadau Rhyddid Gwybodaeth (RhG) a Rheoliadau Gwybodaeth Amgylcheddol (RhGA)

Cafwyd cyfanswm o 1009 o geisiadau RhG a RhGA yn ystod y 12 mis at 31 Mawrth 2022.

Tabl 2: Nifer y ceisiadau a gwblhawyd o 2014/15 hyd 2021/22

Blwyddyn	Cyfanswm ceisiadau a dderbyniwyd	Nifer a gwblhawyd o fewn y terfyn amser	Canran o fewn y terfyn amser
14/15	1138	1038	91%
15/16	1236	1153	93%
16/17	1331	1281	96%
17/18	1367	1303	95%
18/19	1500	1425	95%
19/20	1261	1221	96%
20/21	1196	1010	84%
21/22	1009	880	87%

Gostyngodd nifer y ceisiadau RhG a RhGA yn sylweddol yn ystod 21/22, 12% yn is na 20/21, a'r pandemig oedd y prif reswm (adleoli staff ac absenoldeb staff). Eleni, mae nifer y ceisiadau wedi

cynyddu i bron 100 y mis, sy'n debyg i lefel y ceisiadau yn 2019. Mae rhai a fyddai'n gwneud ceisiadau a oedd wedi diflannu yn ystod y pandemig wedi dychwelyd, yn benodol pleidiau gwleidyddol a busnesau.

Mae Swyddfa'r Comisiynydd Gwybodaeth yn ei gwneud yn ofynnol i ymateb i o leiaf 90% o geisiadau RhG a RhGA o fewn y terfyn amser. Nid ydym wedi cyrraedd y targed hwn dros y ddwy flynedd ddiwethaf oherwydd effaith y pandemig; mae cyfraddau ymateb o 84% ac 87% yn foddhaol o ystyried yr amgylchiadau.

4.3 Ceisiadau Diogelu Data (Ceisiadau am ddata personol)

Cyfanswm a dderbyniwyd:	203
Ceisiadau gan Unigolion i weld gwybodaeth amdanynt eu hunain:	87
Ceisiadau am eithriad:	116
O fewn y terfyn amser a ddynodwyd:	183 (90%)
Cafeat:	

- Mae ffigurau'r Gwasanaethau Plant wedi'u cynnwys yn yr ystadegau uchod nawr - nid oeddent wedi'u cynnwys mewn blynyddoedd blaenorol. Mae ystadegau uwch yn amlwg ar gyfer Gwasanaethau Plant oherwydd bod achosion Diogelu Data yn fwy tebygol o gael eu cofnodi'n ganolog ers ailstrwythuro prosesau Plant tua mis Hydref 2021.

- Yn dechnegol, nid oes gan geisiadau'r Heddlu ddyddiad "terfyn" statudol fel Ceisiadau gan Unigolion i weld gwybodaeth amdanynt eu hunain (mwy fel disgwyliad "cyn gynted ag sy'n bosibl"). Maen nhw wedi'u cofnodi yma fel "Tu Hwnt i'r Terfyn Amser" os byddant yn mynd dros fis calendr.

- Mae'r cyfanswm ystadegau ymateb ychydig dros 90% ar gyfer y flwyddyn. Fodd bynnag, mae'n dal i fod yn anodd, ers dechrau cyfnod Covid, i gael data gan wasanaethau i ganiatáu digon o amser i asesu, golygu a gofyn am ddatgeliad o fewn y terfynau amser.

4.4 Adolygiadau Mewnol

Mewn rhai achosion, cafodd penderfyniadau am fynediad at wybodaeth eu herio gan yr ymholwr a chynhaliwyd adolygiad mewnol.

Ar gyfer ceisiadau RhG a RhGA, roedd 15 her o'r fath dros y 12 mis diwethaf gyda 10 ohonynt wedi'u cynnal yn gyfan gwbl neu'n rhannol. Bu gostyngiad o 37% o ran adolygiadau mewnol, o uchafbwynt o 24 y llynedd. Mae hyn yn rhannol oherwydd y gostyngiad o ran nifer y ceisiadau, ond mae fel pe bai llai o awydd wedi bod am heriau i ymatebion. Bu cynnydd o ran nifer y cwynion a gafodd eu cynnal yn rhannol – yn bennaf oherwydd bod mwy o wybodaeth wedi dod i'r amlwg ar ôl i'r ymateb gwreiddiol gael ei anfon. Mae camau wedi'u cymryd i gyfyngu ar ba mor aml mae hyn yn digwydd.

Nid oes adolygiad mewnol statudol dan Geisiadau gan Unigolion i weld gwybodaeth amdanynt eu hunain, fodd bynnag, mae Swyddfa'r Comisiynydd Gwybodaeth yn argymhell proses adolygu. Cynhaliwyd un adolygiad o'r fath a chafodd y cais ei wrthod oherwydd ei fod yn ormodol a di-sail.

Lle nad yw'n bosibl datrys materion yn uniongyrchol gyda'r ymholwr, neu os ydynt yn achosion cymhleth neu sensitif, gallant gael eu hystyried gan y Panel Mynediad at Wybodaeth sy'n cael ei gadeirio gan Bennaeth y Gwasanaethau Cyfreithiol, Adnoddau Dynol a Democraidd. Llwyddodd y Panel i ddatrys un mater o'r fath dros e-bost yn ystod y flwyddyn, a'r penderfyniad oedd dileu set data ardrethi busnes o'r wefan er mwyn lleihau'r risg o dwyll.

4.5 Cŵyn i Gomisiynydd y Gymraeg

Cyflwynwyd un gŵyn i Gomisiynydd y Gymraeg am oedi wrth ddelio â chais RhGA trwy gyfrwng y Gymraeg. Mae'r Cyngor wedi ymateb i ddweud bod y cais wedi'i oedi'n bennaf oherwydd bod staff ar eu gwyliau, a hefyd oherwydd deddfwriaeth RhGA, a nifer y cofnodion i'w datgelu. Felly, nid oedd y cais wedi'i oedi gan ei fod wedi'i gyflwyno trwy gyfrwng y Gymraeg.

4.6. Swyddfa'r Comisiynydd Gwybodaeth

Ymchwiliodd Swyddfa'r Comisiynydd Gwybodaeth i un gŵyn am gais RhGA a gyflwynwyd i'r Cyngor yn 2020, a chyhoeddwyd eu penderfyniad ar eu gwefan ym mis Rhagfyr 2021. Cafodd yr eithriadau a gafodd eu gweithredu gan y Cyngor eu cynnal, fodd bynnag, cawsom ein beirniadu am beidio ag ymateb i'r sawl a gyflwynodd y cais o fewn y terfyn amser statudol. Arweiniodd ymchwiliad Swyddfa'r Comisiynydd Gwybodaeth at tua 100 awr o waith (yn ychwanegol at y nifer o oriau a dreuliwyd ar y cais gwreiddiol a'r adolygiad mewnol). IC-70644-T2D5

<https://icosearch.ico.org.uk/s/search.html?collection=ico-meta&profile=decisions&query=denbighshire>

Ymchwiliodd Swyddfa'r Comisiynydd Gwybodaeth i gais gan unigolyn i weld gwybodaeth amdanynt eu hunain hefyd a gwelwyd y bu oedi amhriodol o ran datgeliad. Derbyniwyd y gŵyn a chafodd ei datrys ar adeg delio â'r cais. Gweithredwyd hyfforddiant ychwanegol gyda'r tîm Refeniw a Budd-daliadau cyn i Swyddfa'r Comisiynydd Gwybodaeth gysylltu â CSDd. Darparwyd eglurhad llawn i Swyddfa'r Comisiynydd Gwybodaeth ac ni chymerwyd unrhyw gamau pellach.

Mae tri achos diogelu data arall o 2021 a allai arwain at gyfranogiad Swyddfa'r Comisiynydd Gwybodaeth – roedd y tri yn geisiadau mawr a chymhleth gan unigolion i weld gwybodaeth amdanynt eu hunain.

4.7 Ysgolion

Erbyn hyn mae gan y Cyngor Ddirprwy Swyddog Diogelu Data sy'n gweithio'n unswydd gyda'r ysgolion ac o ganlyniad i hyn mae gennym wybodaeth well o lawer am y sector hwn. Mae pob ysgol unigol yn gyfrifol am y modd y rheolir eu data a nhw yw eu rheolyddion data eu hunain, ond yn amlwg mae o fudd i'r Cyngor eu helpu nhw i gyflawni'r safonau uchaf o ran diogelu data. Rydym yn gwneud hyn mewn llawer iawn o ffyrdd, yn cynnwys cynnig cyngor a mynediad at ein polisïau a'n gweithdrefnau.

4.8 Toriadau Diogelu Data mewn ysgolion

Cafwyd cyfanswm o 6 mân achos o dorri rheolau diogelu data ar gyfer y cyfnod rhwng mis Ebrill 2021 a mis Mawrth 2022 – ni roddwyd gwybod am yr un o'r rhain i Swyddfa'r Comisiynydd Gwybodaeth.

Yn debyg i'r llynedd, roedd y rhain o ganlyniad i anfon gwybodaeth am ddisgybl drwy'r post neu e-bost at y rhiant anghywir, neu e-byst yn datgelu cyfeiriadau personol rhieni i bob derbynydd (ddim wedi defnyddio bcc). Roedd 1 achos o golli data oherwydd mater TG ac nid oedd modd adfer y data hwnnw.

4.9 Ceisiadau Rhyddid Gwybodaeth a Diogelu Data i Ysgolion

Daeth cyfanswm o 5 cais Rhyddid Gwybodaeth i law gan amryw ysgolion.

Gwnaed 1 cais Rhyddid Gwybodaeth i bob ysgol, gwnaed 3 chais arall i bob ysgol uwchradd ac 1 cais arall i 1 ysgol.

Gwnaed cyfanswm o 15 Cais gan Unigolion i Weld Gwybodaeth Amdanynt eu Hunain (ceisiadau am wybodaeth bersonol) i ysgolion

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

5.1. Mae'r adroddiad hwn yn cefnogi amcan y Cyngor i fod yn effeithiol ac yn effeithlon ond nid yw'n uniongyrchol gysylltiedig â blaenoriaeth gorfforaethol.

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

6.1 Mae'r adroddiad hwn er gwybodaeth yn unig.

7. Beth yw prif gasgliadau'r Asesiad o'r Effaith ar Les?

7.1 Yng *Nid oes angen Asesiad o Effaith ar Les*.

8. Pa ymgynghoriadau sydd wedi'u cynnal gyda Chraffu ac eraill?

8.1. Amherthnasol

9. Datganiad y Prif Swyddog Cyllid

9.1 Ddim yn angenrheidiol .

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

10.1 Er mai er gwybodaeth yn unig y mae'r adroddiad hwn, byddai risg i'r Cyngor pe na bai systemau rheoli gwybodaeth a diogelu data yn cael eu cynnal. Mae trosolwg gan Bwyllgor yn elfen bwysig o sicrhau bod ein systemau yn effeithiol.

11. Pŵer i wneud y penderfyniad

Nid oes angen penderfyniad

Adroddiad i'r	Pwyllgor Llywodraethu ac Archwilio
Dyddiad y cyfarfod	23 Tachwedd 2022
Aelod Arweiniol / Swyddog	y Cyng. Gwyneth Ellis, Aelod Arweiniol Cyllid, Perfformiad ac Asedau Strategol / Steve Gadd, Pennaeth Cyllid ac Eiddo
Awdur yr Adroddiad	Steve Gadd
Teitl	Y Broses Gyfalaf a dyfodol y Grŵp Buddsoddi Strategol

1. Am beth mae'r adroddiad yn sôn?

- 1.1. Rhoi'r wybodaeth ddiweddaraf i'r pwyllgor ar y broses gosod cyllideb gyfalaf newydd arfaethedig a'r newidiadau drafft i'r Cylch Gorchwyl ac enw'r Grŵp Buddsoddi Strategol.

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

- 2.1. Rhoi cyfle i'r pwyllgor wneud sylwadau ar y broses gyfalaf ddrafft newydd a'r Grŵp Craffu Cyfalaf newydd arfaethedig cyn gwneud y newidiadau ffurfiol gofynnol. Dylid nodi fod yr un cynigion drafft yn cael eu cyflwyno i'r Briff Cabinet ar 14 Tachwedd a bydd diweddariad ar lafar o ganlyniad y cyfarfod hwnnw yn cael ei roi i'r pwyllgor.

3. Beth yw'r Argymhellion?

- 3.1. Bod y pwyllgor yn adolygu ac yn trafod y papur a gyflwynir a datgan eu bod yn hapus ai peidio i symud ymlaen gyda'r ymgynghoriad a'r broses gwneud penderfyniad.
- 3.2. Bod y Cabinet yn trafod ac yn gwneud sylwadau neu argymhellion ar y newidiadau arfaethedig i'r broses gyfalaf a'r cylch gorchwyl a all gael eu hadrodd yn ôl i'r Cabinet.

4. Manylion yr adroddiad

- 4.1 Mae dyfodol y broses gyfalaf a'r Grŵp Buddsoddi Strategol wedi bod yn flaenoriaeth am y 18 mis diwethaf. Er y gobeithiwyd y byddai cynnig yn barod dros yr haf, mae'n bwysig ein bod yn cael hyn yn iawn. Yr egwyddorion arweiniol y tu ôl i'r adolygiad yw:

- Mae'r Grŵp Gwella Gwasanaeth (aelodaeth y meinciau cefn) wedi mynegi pryderon am eu rôl wrth wneud penderfyniadau allweddol - cytunwyd y byddai hyn yn cael ei ystyried yn yr adolygiad.
- Yr angen am lywodraethu cryf o ran y ffordd rydym yn dyrannu a chymeradwyo adnoddau cyfalaf
- Craffu ar benderfyniadau - gan gynnwys adolygiad o benderfyniadau/prosiectau blaenorol er mwyn dysgu o brofiad
- Symleiddio'r broses gwneud penderfyniadau ar gyfer cynlluniau wedi'u hariannu gan grantiau lefel isel
- Ceisio cydamseru'r prosesau achos busnes ar gyfer prosiectau cyfalaf a phrosesau rheoli prosiect ehangach y Cyngor (trwy'r defnydd o Verto)
- Mynd i'r afael â'r cymorth sydd ei angen ar gyfer gweinyddiaeth iawn o'r prosesau

4.2 Mae mwyafrif manylion y cynigion wedi'u cynnwys yn y Cylch Gorchwyl drafft a'r atodiad sydd wedi'i gynnwys fel Atodiad 1 yn yr adroddiad hwn. Prif bwyntiau'r cynnig yw:

- Bydd grŵp newydd yn cael ei greu sef y Grŵp Craffu Cyfalaf - bydd y grŵp yn craffu ar achosion busnes a chyllidebau cyfalaf ond ni fyddai'r penderfyniadau terfynol yn cael eu gwneud gan y grŵp hwn. Bydd barn y Grŵp Craffu Cyfalaf yn cael ei ystyried gan y cyrff eraill sy'n gwneud penderfyniadau fel y nodir isod.
- Mae aelodaeth meinciau cefn y Grŵp Craffu Cyfalaf wedi cael ei gadw fel enwebiadau'r Pwyllgor Craffu - croesawir barn y Cabinet ar y mater hwn
- Mae cyfansoddiad y cyngor yn caniatáu i'r Cabinet gymeradwyo cynlluniau cyfalaf unigol, ond mae angen cymeradwyaeth y Cyngor llawn ar gyfer y Cynllun Cyfalaf blynyddol (Siart B).
- Gall Tîm Gweithredol y Cyngor gymeradwyo cynlluniau o dan £1miliwn os yw'r Grŵp Craffu Cyfalaf wedi cofnodi eu cefnogaeth (Siart C).
- Mae'n ofynnol i'r Cabinet wneud y penderfyniad terfynol ar holl gynlluniau dros £1miliwn (Siart C).
- Gall gynlluniau o dan £1miliwn, na chânt eu cefnogi gan y Grŵp Craffu Cyfalaf, gael eu dwyn ymlaen gan y Pennaeth Gwasanaeth i'r Cabinet ar gyfer penderfyniad terfynol os na ellir cyrraedd cytundeb (Siart C)

- Nid oes angen i gynlluniau o hyd at £0.250 miliwn a gyllidir gan grant yn ystod y flwyddyn, fynd trwy'r Grŵp Craffu Cyfalaf, a gallent gael eu cymeradwyo gan y Pennaeth Gwasanaeth, y Cyfarwyddwr perthnasol a'r Pennaeth Cyllid.
- Mae angen mwy o waith ar fanylion y broses a ffurflenni ceisiadau cyfalaf. Y nod yw y bydd angen i holl brosiectau cyfalaf gwblhau ffurflenni prosiect Verto - ond yn y dyfodol bydd y rhain yn cynnwys yr holl wybodaeth ychwanegol sydd ei angen i wneud penderfyniadau ar achosion busnes cyfalaf. Mae hwn yn brosiect parhaus a bydd canllawiau gweithredol manwl yn cael eu datblygu erbyn y gwanwyn.
- Y cynnig yw y bydd y Grŵp Craffu Cyfalaf a'r Bwrdd Cyllideb yn cael eu cefnogi gan y tîm Gwasanaethau Pwyllgorau o fis Ebrill 2023. Mae trafodaethau wedi bod yn digwydd ar y mater hwn ac mae trefniadau wedi cael eu cytuno mewn egwyddor.

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

- 5.1. Mae nifer o flaenoriaethau'r Cyngor angen buddsoddiad cyfalaf er mwyn eu cyflawni. Mae'r cynnig yn nodi proses glir a chadarn er mwyn sicrhau fod penderfyniadau yn fforddiadwy ac yn cael eu gweld yng nghyd-destun ehangach fforddiadwyedd ac adnoddau sy'n cystadlu.
- 5.2. Mae cael proses gosod cyllideb cyfalaf gadarn er mwyn gosod cyllideb bob blwyddyn yn brif ddyletswydd i'r Cyngor ac mae'n hanfodol er mwyn sicrhau llywodraethu da'r Cyngor, fel y nodir yn y Cynllun Corfforaethol newydd.

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

- 6.1. Bydd pob achos busnes yn nodi goblygiadau ariannol y prosiectau unigol.
- 6.2. Bydd y cynnig yn effeithio ar adnoddau'r Gwasanaethau Pwyllgorau – fodd bynnag mae Cyllid wedi cytuno i ariannu unrhyw bwysau o gronfeydd wrth gefn y gwasanaeth hyd at ddiwedd blwyddyn ariannol 2024/25.

7. Beth yw prif gasgliadau'r Asesiad o'r Effaith ar Les?

- 7.1. Yng ngoleuni Adran 151 nid oes angen asesiad o'r effaith ar les ar y cam hwn, gan fod hyn yn cynnwys prosesau mewnol yn unig.

8. Pa ymgynghoriadau sydd wedi'u cynnal gyda Chraffu ac eraill?

8.1. Mae'r cynigion wedi cael eu trafod gyda swyddogion allweddol gan gynnwys y Prif Weithredwr a'r Cyfarwyddwr Llywodraethu a Busnes. Dylid nodi'r llwybr gwneud penderfyniad canlynol:

- Cyfarfod Briffio'r Cabinet - 14 Tachwedd
- Y Pwyllgor Llywodraethu ac Archwilio - 23 Tachwedd
- Adroddiad penderfyniad terfynol i'r Cabinet ym mis Rhagfyr
- Bydd adroddiad i'r Uwch Dîm Arweinyddiaeth yn cael ei drefnu os fydd y Cabinet yn cytuno symud ymlaen
- Ymgynghori gydag aelodaeth ehangach y Cyngor
- Bydd y cynigion hefyd yn gofyn am newidiadau i'r Cyfansoddiad (gan gynnwys Rheolau Gweithdrefn Ariannol) a fydd yn cael eu datblygu os fydd y Cabinet yn cytuno mewn egwyddor. Mae newidiadau i'r Cyfansoddiad yn cael eu cytuno bob blwyddyn.

9. Datganiad y Prif Swyddog Cyllid

9.1 Gobeithir y bydd y prosesau arfaethedig yn sicrhau y bydd penderfyniadau sy'n ymwneud â strategaethau a phrosiectau cyfalaf yn fwy tryloyw, strategol ac effeithlon. Y gobaith yw y bydd mwyafrif y ceisiadau yn dod drwy'r broses cyllideb cyfalaf blynyddol, fel y gellir asesu ceisiadau sy'n cystadlu yng nghyd-destun yr adnoddau sydd ar gael, yn hytrach na gwneud penderfyniadau unigol. Fodd bynnag, bydd angen penderfyniadau yn ystod y flwyddyn bob amser, ac mae'r broses yn caniatáu craffu iawn ar y penderfyniadau hynny.

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

10.1. Gall y risg o beidio â chael proses gytunedig i ddatblygu, asesu a chraffu ar ofynion cyfalaf y Cyngor arwain at benderfyniadau is-optimidd.

11. Pŵer i wneud y penderfyniad

Dan Adran 151 Deddf Llywodraeth Leol 1972, mae'n ofynnol i awdurdodau lleol wneud trefniadau i weinyddu eu materion ariannol yn briodol.

Mae tudalen hwn yn fwriadol wag

CAPITAL SCRUTINY GROUP

November 2022

DRAFT TERMS OF REFERENCE.

The Capital Scrutiny Group (SIG) will provide an independent review of all business case proposals for capital investment other than schemes under £0.250m that are funded by external grant funding. Final decisions will be taken by the following bodies as set out in Appendix 1, but will need to take account of the comments and views of the CSG:

- The council's constitution allows Cabinet to approve individual capital schemes, with the annual Capital Plan requiring approval by the full Council (Chart B).
- Council Executive Team can approve schemes under £1m if CSG has recorded support (Chart C).
- Cabinet are required to make the final decision on all schemes over £1m (Chart C).
- Schemes under £1m, that are not supported by CSG, can be taken by the Head of Service to Cabinet for a final decision if agreement cannot be reached (Chart C)

Quorum membership of CSG is achieved when two cabinet members are in attendance, one of whom is the lead member responsible for Finance and two CET members, one of whom is the S.151 Officer (or is represented by the Deputy S.151 Officer).

Ideally a consensus should be reached on decisions to support or not support individual bids. However the Lead Member with responsibility for Finance (Chair) can choose to take the decision to a vote if required.

CSG membership includes:

- Lead Cabinet member responsible for Finance (Chair)
- Leader of the Council
- Cabinet Member (to be nominated by Cabinet)
- Representative from each scrutiny committee
- Corporate Director for Governance and Business
- Head of Finance (S.151 Officer)
- County Landlord

Core Functions:

1. To review and comment on all capital schemes (other than those under £0.250m which are externally funded) and register support if appropriate.
2. The overall decision making process is outlined in Appendix 1. If CSG do not feel that they can support a particular scheme, then CSG can request that any concerns or comments that they wish to record are reported to Cabinet to make the final decision if the Head of Service wishes to pursue.
3. Ensure all bids for capital schemes:
 - Comply with all statutory requirements
 - Have a full Business Case (in the prescribed format)
 - Consider an environmentally enhanced (net carbon zero/ecologically positive compatible) business option.
 - Clearly identify the total funding requirement and potential sources of funding
 - Clearly identify current and future revenue implications, including the whole life cost over 20 years for the preferred business option as well as for the environmentally enhanced business option if it is not selected as the preferred option.
 - Explain the impact on the council's corporate assets, carbon emissions and biodiversity.
 - Support the council's agreed priorities, including Net Carbon Zero and Ecologically Positive Council by 2030 goals.
 - Include an assessment under the Wellbeing of Future Generations Act
4. Review and comment on the Medium Term Capital Strategy and the annual bids to be included in the Capital Budget each year.
5. Review a selection of capital bids previously approved on an annual basis and may any comments and recommendations to Cabinet as appropriate.
6. The Terms of Reference apply to schemes accounted for within the council's General Fund and the Housing Revenue Account (HRA). However, annual capital expenditure included in the 'block grants' approved as part of the annual Capital Budget approved by Cabinet and Council will not require approval for individual schemes. Also excluded are schemes in support of the maintenance of the council's housing stock and the ad-hoc acquisition of former housing stock disposed of under

the Right to Buy scheme, will be approved annually by Cabinet as part of the HRA revenue and capital budget process and will not routinely require further approval by CSG.

7. CSG will normally be scheduled to meet in the following months (6 times a year).

Also included is an outline of the workload for each meeting:

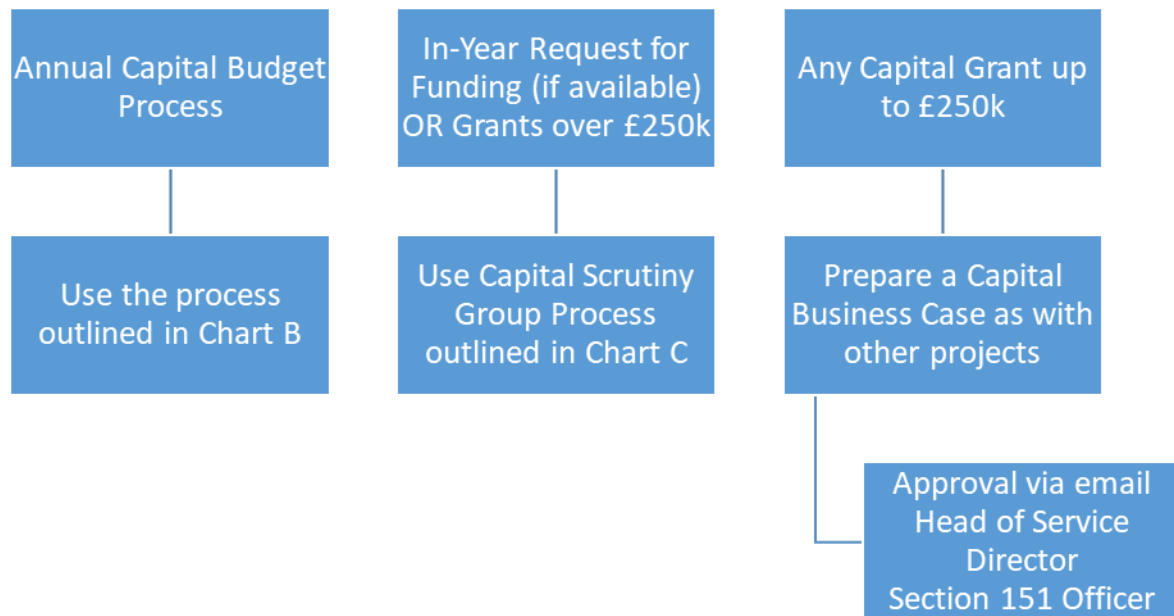
- May – review any in year bids
- July – review any in year bids and progress on annual capital budget process
- September – formal review of Medium Term Capital Strategy and the annual bids
- November – review any in year bids
- January – review of capital budget process and review any in year business cases
- March – review a selection of capital projects that are complete or part complete and review any in year business cases

However, it is recognised that the nature of some bids or proposals may require additional meetings or, subject to the agreement of the lead member responsible for Finance and the Head of Finance, consideration and approval of proposals via e-mail.

8. CSG will agree a summary of actions, taking into account confidentiality requirements, which will allow representatives of Scrutiny Committees to report back to those committees.
9. Review the training requirements of Members of CSG, SLT, Middle Managers and the wider Council membership on the capital decision making process on an annual basis.

Mae tudalen hwn yn fwriadol wag

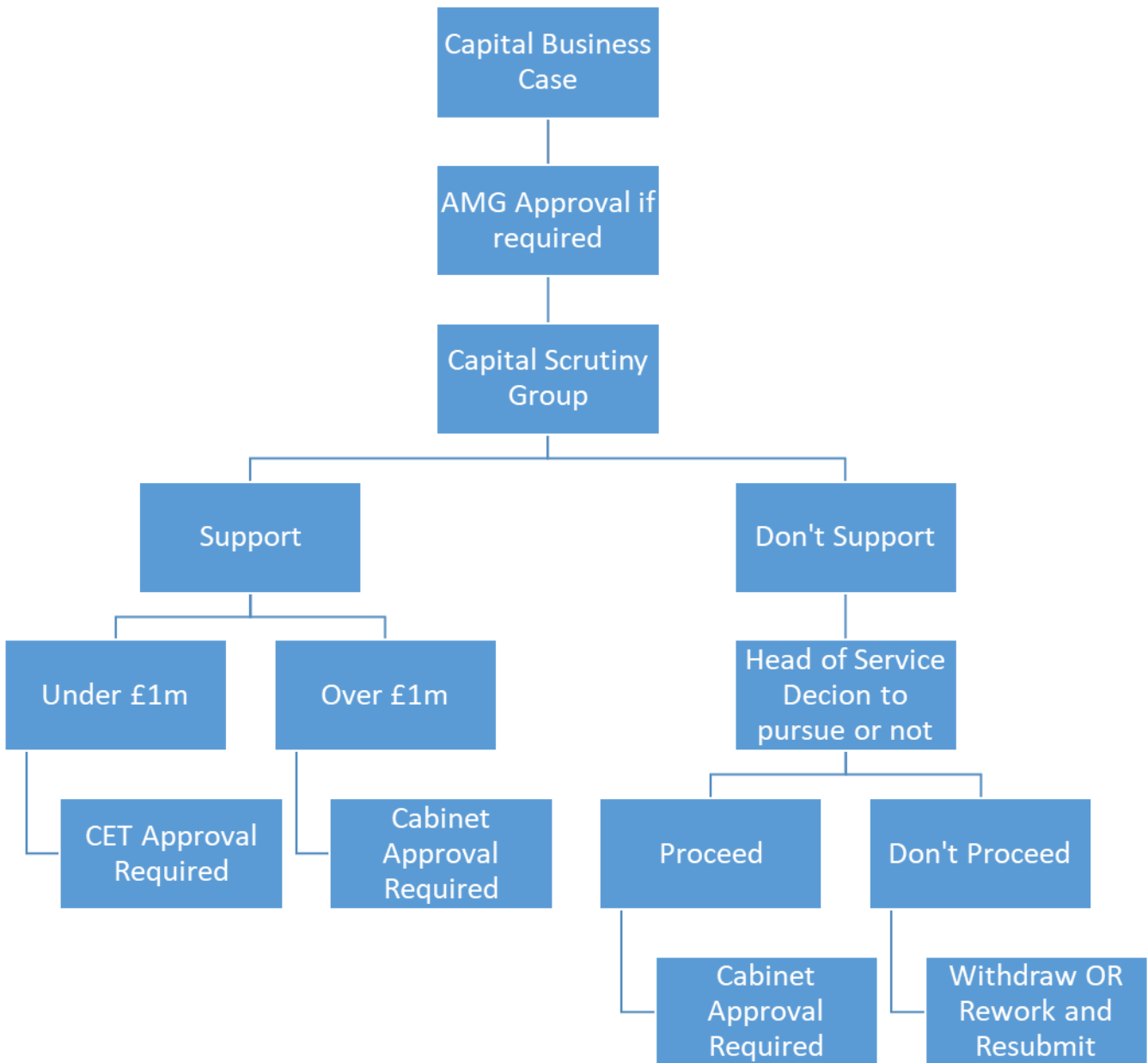
Summary of Capital Process (Chart A)



Annual Capital Budget Process - Intended for almost all non-granted bids (Chart B)



Capital Scrutiny Group Process – (Chart C)



Mae tudalen hwn yn fwriadol wag

Adroddiad i'r	Pwyllgor Llywodraethu ac Archwilio
Dyddiad y cyfarfod	23 Tachwedd 2022
Aelod Arweiniol / Swyddog	Y Cyng. Gwyneth Ellis, Aelod Arweiniol Cyllid, Perfformiad ac Asedau Strategol / Steve Gadd, Pennaeth Cyllid ac Eiddo
Awdur yr Adroddiad	Steve Gadd
Teitl	Diweddariad ar Broses y Gyllideb

1. Am beth mae'r adroddiad yn sôn?

1.1. Rhoi diweddariad i'r Cyngor ar y Cynllun Ariannol Tymor Canolig ac Amserlen y Gyllideb.

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

2.1. I sicrhau bod y Pwyllgor wedi cael y wybodaeth ddiweddaraf am y broses o osod y gyllideb.

3. Beth yw'r Argymhellion?

3.1. Bod yr Aelodau'n nodi ac yn trafod amserlen ddiweddaraf y gyllideb i osod y gyllideb ar gyfer 2023/24 a 2024/25 (gweler Adran 4 ac Atodiad 1).

3.2. Bod yr Aelodau'n nodi rhagolygon diweddaraf y gyllideb am sefyllfa'r gyllideb ar gyfer 2023/24 a 2024/25 (gweler Adran 4 ac Atodiad 1).

3.3. Argymhellir bod yr Aelodau'n ystyried amllder y diweddariadau ar broses y gyllideb i'r Pwyllgor yn sgil y sefyllfa ariannol anodd mae'r Cyngor yn ei hwynebu.

4. Manylion yr adroddiad

4.1 **Diweddariad ar y Gyllideb ar gyfer 2023/24** – Mae diweddariad cyffredinol wedi'i gynnwys yn Atodiad 1, a anfonwyd at bob Aelod ar 31 Hydref. Mae hwn yn gyfnod ansicr iawn i'r Cyngor ac ni ellir gorbwysleisio pwysigrwydd y cyhoeddiad ar 17 Tachwedd. Mae'r amserlen ar gyfer yr hydref wedi'i chynnwys isod:

- 3rd November – Trade Union Consultation
- 7th November – Full Council Briefing
- 14th November – Cabinet Briefing Paper
- 16th and 22nd November – Service Budget Meetings
- **17th November – UK Government Autumn Statement**
- 23rd and 30th November – Group Meetings with Lead Member and S151 Officer
- 23rd November – Governance and Audit Committee (on the process)
- **13th December – Welsh Government Budget expected**
- 13th December – Cabinet Budget Workshop
- 14th December – Update to Group Leaders Meeting
- **14th December – WG Draft LA Settlement**
- 17th January – Full Council Briefing
- 24th January – Cabinet Budget Report
- 31st January – Council Budget Report

Er hynny, oherwydd bod cymaint o ansicrwydd, mae hi werth nodi dwy senario:

Senario bosib' gyntaf

- Grant Cynnal Refeniw wedi'i gadarnhau yr un fath â'r setliad dangosol
- Ychwanegu Pwysau Cludiant Ysgol tebygol o £0.9 miliwn
- Cynnydd i Ffioedd Gofal o £3 miliwn
- Lleihau'r pwysau gwasanaeth o o leiaf £1 miliwn (gwrthod pethau sy'n 'dda eu cael')
- Arbediad pensiynau ar ben uchaf yr opsiynau – arbediad o £3.8 miliwn
- Byddai £4.3 miliwn o fwllch ar ôl
- Byddai modd llenwi'r bwllch hwn, er enghraifft, drwy gynnydd pellach o 1% i Dreth y Cyngor (i 4.8% – £600,000) a defnyddio arian wrth gefn

Ail senario bosib'

- Arian y Grant Cynnal Refeniw yn wastad – bwllch yn cynyddu £5.7 miliwn
- Ychwanegu Pwysau Cludiant Ysgol tebygol o £0.9 miliwn
- Cynnydd i Ffioedd Gofal o £3 miliwn
- Cymryd nad oes modd lleihau pwysau gwasanaeth cyfredol
- Arbediad pensiynau ar ben isaf yr opsiynau – arbediad o £2 filiwn
- Byddai £12.8 miliwn o fwllch ar ôl – nid yw'r arian gennym i gau'r bwllch hwn, felly byddai angen gweithredu ar frys

Yn amlwg, enghreifftiau yn unig yw'r senarios hyn ond maent yn dangos yr ystod o risgiau hyd yn oed mor hwyr â hyn yn y broses o osod y gyllideb.

Cronfeydd wrth Gefn: Ffactor arall sy'n cymhlethu pethau yw lefel y gorwariant eleni (2022/23). Bydd angen ariannu unrhyw orwariant net o gronfeydd arian wrth gefn. Mae'r ddwy gronfa wrth gefn ganlynol ar gael i gefnogi'r gyllideb.

- Cronfa wrth Gefn Lliniaru'r Gyllideb – £4.85 miliwn ynddi ar hyn o bryd – mae posib' tynnu tua £600,000 ohoni yn y flwyddyn ar gyfer prosiectau wedi'u hariannu gan y Gronfa Ffyniant Gyffredin
- Cronfa wrth Gefn Heb ei Chlustnodi – mae gennym ni bolisi i gadw £5 miliwn o gronfa wrth gefn heb ei chlustnodi. Fodd bynnag, mae gennym £7.1 miliwn yn y gronfa wrth gefn hon ar hyn o bryd, sy'n caniatáu i ni ddefnyddio £2.1 miliwn heb fod angen ei dalu'n ôl

Er bod hyn yn swnio'n iach, bydd y gorwariant disgwylidig i gael ei adrodd yng nghyfarfod mis Tachwedd y Cabinet tua £4 miliwn, a fyddai ond yn gadael tua £2.2 miliwn i helpu â'r cyllid ar gyfer bwch 2023/24. Fel y Swyddog Adran 151, byddwn yn ystyried defnyddio'r cronfeydd wrth gefn pe bawn yn hyderus bod ewyllys gwleidyddol a pharodrwydd sefydliadol i wneud y penderfyniadau anodd iawn fydd eu hangen i fantoli'r gyllideb yn 2024/25.

4.3 Diweddariad ar y Gyllideb ar gyfer 2024/25

£14 miliwn o fwch ar hyn o bryd – ond bydd hwn yn cael ei ddylanwadu gan yr holl elfennau cyfnewidiol sydd eto i gael eu penderfynu'n derfynol at 2022/23 a gallai'r bwch gynyddu'n eithaf rhwydd ymhell dros £20 miliwn ac mae'n debyg bod angen i ni gynllunio at ffigwr felly. Mae £20 miliwn yn 8.5% o gyfanswm Cyllideb y Cyngor o £234 miliwn yn 2022/23, ond mae angen i ni ystyried costau sefydlog a beth fyddai'n wleidyddol dderbyniol. Mae rhai senarios o sut y gallai'r effaith ddisgyn ar wasanaethau i'w gweld isod (DS syniad yn unig yw'r rhain ac ni ddylid eu hystyried yn gynigion):

- Heb gynnwys cyllidebau sefydlog ond yn cynnwys ysgolion – 10% o ostyngiad i gyllidebau
- Wrth dynnu ysgolion – 18% o ostyngiadau
- Os yw ysgolion a gofal cymdeithasol yn cael eu gwarchod – 42% o doriadau i gyllidebau eraill
- Os cwtogir cyllidebau ysgolion a gofal cymdeithasol 5% – 26% o ostyngiadau i weddill y Cyngor

Cynllun 5 mlynedd gwreiddiol y Gyllideb wedi gobeithio gwneud arbedion drwy ddynodi prosiectau mawr yn cynnwys:

- Lle i fasnacheiddio – codi tâl / modelau cyflawni amgen – sicrhau bod costau llawn yn cael eu hadennill
- Lle i wneud pethau'n wahanol – ailystyried prosesau busnes / meysydd sydd angen meincnodi ariannol
- Cynlluniau a syniadau'r gwasanaethau eu hunain i wneud arbedion

Mae hyn yn parhau i fod yn bwysig ond ni fydd yn ddigon i lenwi'r bwlch yn y gyllideb. Bydd y strategaeth i ddefnyddio arian yn 2023/24 yn caniatáu i'r Cyngor gynllunio'n briodol i faint y penderfyniadau sydd eu hangen i fantoli cyllideb 2023/24. Bydd angen dechrau gwaith cyn gynted ag y mae cyllideb 2023/24 wedi'i gorffen ac mae angen gallu trafod pob opsiwn / syniad. Bydd angen ymgynghori'n helaeth ar hyn a gobeithio y bydd yn cynnwys elfen o ddull Cymru gyfan o gyfathrebu.

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

- 5.1. Mae gosod cyllideb gytbwys bob blwyddyn yn brif ddyletswydd i'r Cyngor ac mae'n hanfodol er mwyn sicrhau llywodraethu da'r Cyngor, fel y nodir yn y Cynllun Corfforaethol newydd.

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

- 6.1. Mae Adran 4 ac Atodiad 1 yn amlinellu goblygiadau ariannol sefyllfa'r gyllideb ar gyfer 2023/24 a 2024/25 yn glir.

7. Beth yw prif gasgliadau'r Asesiad o'r Effaith ar Les?

- 7.1. Nid ydym wedi cynnal asesiad o'r effaith ar les eto. Byddai angen gwneud hynny pan mae angen y penderfyniadau terfynol.

8. Pa ymgynghoriadau sydd wedi'u cynnal gyda Chraffu ac eraill?

- 8.1. Mae'r Diweddariad ar y Gyllideb sydd yn Adran 4 ac Atodiad 1 yn dweud pa waith ymgynghori sydd wedi'i wneud eisoes a'r dyddiadau i wneud mwy ohono dros yr wythnosau a'r misoedd nesaf.

9. Datganiad y Prif Swyddog Cyllid

- 9.1 Y gobaith yw y bydd y strategaeth i ddefnyddio arian yn 2023/24 yn caniatáu i'r Cyngor gynllunio'n briodol i faint y penderfyniadau sydd eu hangen i fantoli cyllideb 2023/24. Fodd bynnag, mae hwn yn parhau i fod yn gyfnod gofidus iawn i'r Cyngor. Rydym wedi cael setliadau isel o'r blaen, ond erioed â chostau'n cynyddu ar y raddfa y maent.

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

- 10.1. Mae'r risgiau sy'n gysylltiedig â sefyllfa'r gyllideb wedi'u nodi'n glir yn Adran 4. Mae'r risgiau ar wahân i rai ariannol yn anodd eu mesur nes bydd cynigion terfynol i'w hasesu ond mae gostyngiad fel hyn i gyllid termau real yn debygol o effeithio ar ddarpariaeth gwasanaeth.

11. Pŵer i wneud y penderfyniad

Dan Adran 151 Deddf Llywodraeth Leol 1972, mae'n ofynnol i awdurdodau lleol wneud trefniadau i weinyddu eu materion ariannol yn briodol.

Mae tudalen hwn yn fwriadol wag

Member Briefing on Progress setting the Budget for 2023/24

Key Aspects of Budget Process

- Process to consider and review non-strategic Budget Pressures
- Process to consider and review Strategic Budget Pressures
- 1% Efficiency Target for services
- Huge uncertainty this year – Autumn Budget Statement now planned for 17th November
- Invest-to-save scheme to help pump prime specific projects through the use of cash – limited take up

Progress so Far

- This has been a particularly difficult year and we are still in a position when many things remain outstanding. The gap could grow considerably if the indicative settlement is revisited. As it stands it is likely that significant reserves will be required in order to balance the budget. This is not ideal but will allow the Council the time to develop plans for significant reductions to budgets for 24/25. This work will commence in January 2023 and be as inclusive as possible.
- Initial consultation taken place with:
 - SLT – monthly updates
 - Cabinet – monthly updates – and specific briefings
 - Trade Unions – planned for November
 - School Budget Forum – in July and October
 - Full Council Briefing held in July on the full Budget Process – next one in November, then January
 - Governance and Audit Committee – November
- The following changes and risks should be noted:
 - Additional strategic pressure amounting to c£5m have been identified since the summer relating to the impact of the projected pay increases and pressures in adults and children's social care.
 - Additional pressures are likely to be identified during the autumn amounting to £ms – Social Care fees are currently

being reviewed and in year overspends in School Transport are particular concerns.

- Savings have now been included in the MTFP – however we are still waiting on final figures from the Pension Fund Valuation (takes place every 3 years) – indications are that savings will be forthcoming from this.
 - WG Settlement figures are still based on the indicative settlement announced last year – this is currently at risk (see below for details).
 - Any cash used to help the budget in 23/24 would just delay savings so would increase the pressure in 24/25 – this is shown in the MTFP table in this briefing.
- Services has submitted non-strategic pressures amounting to £2.5m. It should be noted that these are still being scrutinised by the Budget Board and at the Service Finance Meetings so figures are likely to change throughout the autumn leading up to the Draft Settlement on the 14th December.
 - Services have submitted 1% efficiency proposals which can currently be summarised as:

Saving Type	Savings £000
Fees and Charges	455
Service Change	372
Service Restructures	75
Technical Budget Reductions (eg decrease in costs)	383
TOTAL	1,285

Although these savings are currently under review and are likely to change, it is welcome that services have engaged positively with the process.

- The current proposals for schools remains that we will fund inflationary pressures such as pay and energy and will also fund the impact of demographic change in order to ensure that per pupil funding is maintained. They have been included in the 1% saving request.

- Service Budget Meetings have been set up during November (last one to be held on 22nd November). The meetings are held with the Budget Board, the Heads of Service and relevant Lead Members. The agenda for these meetings include:
 - Review of service pressures submitted - review progress and resolve outstanding queries
 - Review and agree approach to 1% savings submission
 - Medium term project idea to generate savings
 - Review of service reserves

Figures are likely to change as the remaining meetings take place.

- The current Medium Term Financial Plan is shown below alongside the MTFP as presented to Council in July. It shows a significant gap at the moment of £5m. This is likely to change significantly (see risks identified in this paper) as we go through the next 6 weeks or so:

Summary as at October 2022	MTFP as published 2023/24 £m	Additional Items 2023/24 £m	as at Oct 22 2023/24 £m	Projection 2024/25 £m
Pay Pressures (non schools)	1,519	1,981	3,500	4,000
Price Pressures	700	200	900	1,000
Inflation Contingency	2,000	-2,000	0	
Social Care	2,000	2,000	4,000	2,000
Childrens' Services	500	1,500	2,000	2,000
Schools Inflation	1,879	2,057	3,936	4,000
Schools Demography	700	0	700	700
Non-Strategic Pressures	1,500	1,008	2,508	1,500
Investment in Priorities	865	-365	500	500
Carry Forward of in year shortfall				5,156
TOTAL PRESSURES	11,663	6,381	18,044	20,856
CT Inc Proposed of 3.8%	-2,826	0	-2,826	-2,822
WG Settlement inc of 3.3%	-5,730	0	-5,730	-3,946
Review of Contingencies		-1,700	-1,700	
Civica Project		-300	-300	
1% Saving Target (non schools)		-1,285	-1,285	
1% Savings Target (schools)		-816	-816	
NI Reduction		-231	-231	
TOTAL INCOME	-8,556	-4,332	-12,888	-6,768
Current Position	3,107	2,049	5,156	14,088

Next Steps...

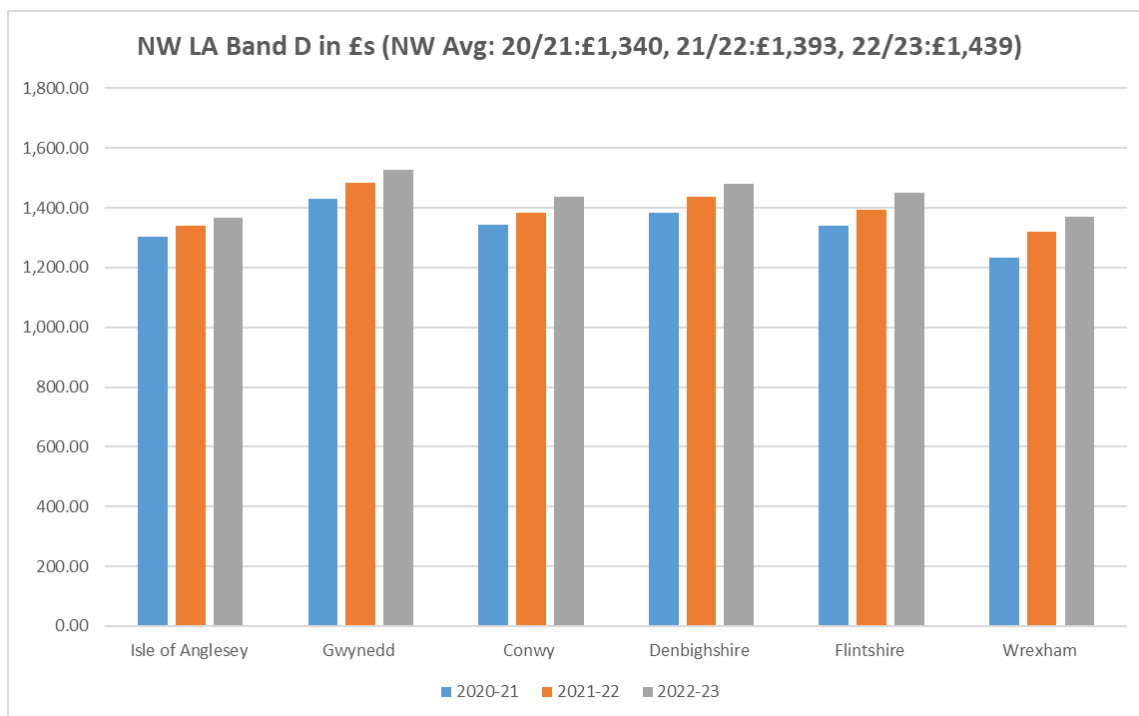
It should be noted that the MTFP is currently assuming an increase of 3.3% (2.2% in 24/25) in Revenue Support Grant (the Welsh Government settlement). RSG makes up around 75% of our funding and we are very reliant on the decisions made by WG. Although this is based on the indicative settlement announced last year – **it should be recognised that this is no longer guaranteed** and is largely dependent on UK government decisions. We should have a clearer picture in the days after the UK Autumn Budget Statement. Obviously if this figure changes then the budget position would worsen severely and involve further identification of budget reductions. The table below is a sensitivity analysis on the settlement (eg a cash flat settlement would increase the budget gap by £5.7m):

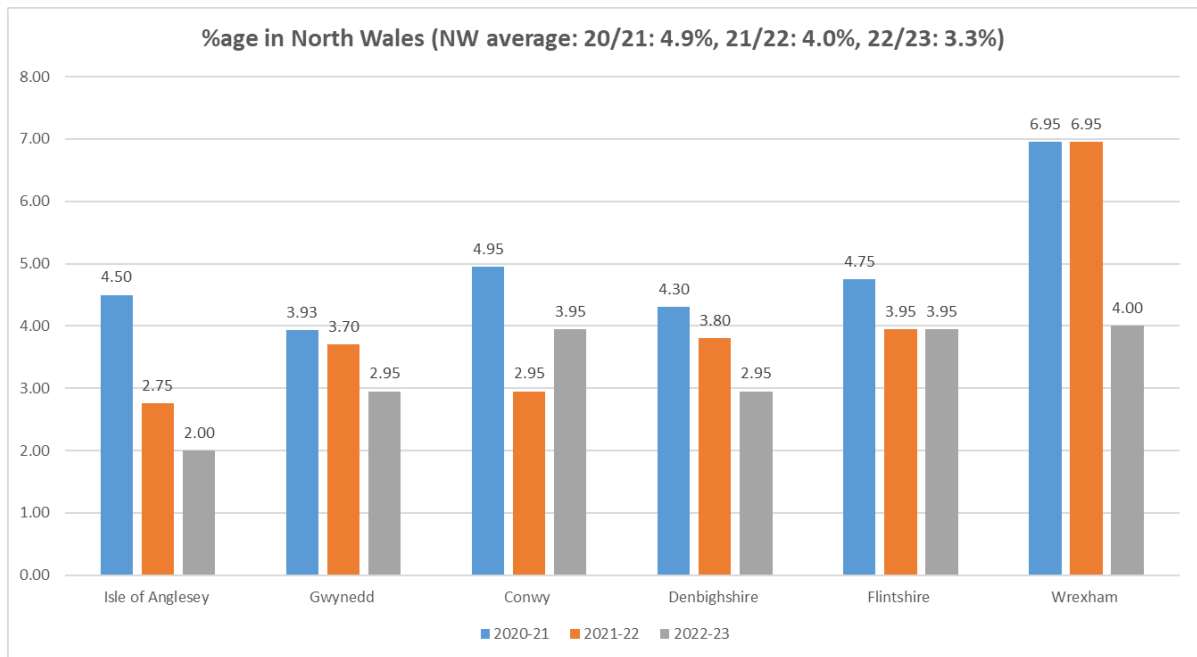
RSG 2022/23		173,637	
%age Change	Cash Impact £000	Change from MTFP Assumption	
9.20%	15,975	15,975	Last Years
5.00%	8,682	8,682	
4.50%	7,814	7,814	
4.00%	6,945	6,945	
3.60%	6,251	6,251	21/22
3.30%	5,730	5,730	Current Assumption
3.00%	5,209	5,209	
2.45%	4,254	4,254	8 Year Average
2.00%	3,473	3,473	
1.50%	2,605	2,605	
1.25%	2,170	2,170	
1.00%	1,736	1,736	
0.50%	868	868	
0.00%	0	0	
-0.50%	-868	-868	
-1.00%	-1,736	-1,736	

Council Tax is the other major lever to allow us to balance the budget and a sensitivity analysis is shown below (please note this does not include estimated increase in CT Base, which is included in the MTFP figures above):

2023/24	Increase %	Increase in Band D £	Proposed Band D £	Total Funding £000	Inc/Dec in Funding £000	
	0.00%	0.00	1,436.76	58,839	0	
	0.50%	7.18	1,443.94	59,134	294	
	1.00%	14.37	1,451.13	59,428	589	
	1.50%	21.55	1,458.31	59,723	883	
	2.00%	28.74	1,465.49	60,017	1,178	
	2.50%	35.92	1,472.68	60,312	1,472	
	2.75%	39.51	1,476.27	60,459	1,620	
2022/23 Increase	2.95%	42.38	1,479.14	60,577	1,738	-501
	3.00%	43.10	1,479.86	60,606	1,767	
	3.25%	46.69	1,483.45	60,753	1,914	
15 Year Average	3.31%	47.56	1,484.31	60,789	1,950	-289
	3.50%	50.29	1,487.04	60,901	2,061	
7 Year Average	3.77%	54.17	1,490.92	61,060	2,220	-18
Current Assumption	3.80%	54.60	1,491.35	61,077	2,238	
	4.00%	57.47	1,494.23	61,195	2,356	
2020/21 Increase	4.30%	61.78	1,498.54	61,372	2,533	294
	4.50%	64.65	1,501.41	61,490	2,650	
	5.00%	71.84	1,508.60	61,784	2,945	
	5.50%	79.02	1,515.78	62,079	3,239	
	6.00%	86.21	1,522.96	62,373	3,534	
2019/20 Increase	6.35%	91.23	1,527.99	62,579	3,740	1,502
	6.50%	93.39	1,530.15	62,668	3,828	
	7.00%	100.57	1,537.33	62,962	4,123	

To help give context to Council Tax please find below two graphs to show DCC's CT levels compared to other North Wales LA's:





The timetable / key dates for the rest of the budget process is shown below:

- 3rd November – Trade Union Consultation
- 7th November – Full Council Briefing
- 14th November – Cabinet Briefing Paper
- 16th and 22nd November – Service Budget Meetings
- **17th November – UK Government Autumn Statement**
- 23rd and 30th November – Group Meetings with Lead Member and S151 Officer
- 23rd November – Governance and Audit Committee (on the process)
- **13th December – Welsh Government Budget expected**
- 13th December – Cabinet Budget Workshop
- 14th December – Update to Group Leaders Meeting
- **14th December – WG Draft LA Settlement**
- 17th January – Full Council Briefing
- 24th January – Cabinet Budget Report
- 31st January – Council Budget Report

Adroddiad i'r	Pwyllgor Llywodraethu ac Archwilio
Dyddiad y cyfarfod	23 Tachwedd 2022
Aelod / Swyddog Arweiniol	Y Cyngorydd Gwyneth Ellis, Aelod Arweiniol Cyllid, Perfformiad ac Asedau Strategol
Awdur yr adroddiad	Steve Gadd, Pennaeth Cyllid ac Eiddo
Teitl	Diweddariad ar y cynnydd gyda'r Datganiad Cyfrifon 2021/22.

1. Am beth mae'r adroddiad yn sôn?

Darparu diweddariad ar yr archwiliad o ddrafft Datganiad Cyfrifon 2020/21.

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

Mae'r Pwyllgor Llywodraethu Corfforaethol wedi dirprwyo cyfrifoldeb i gymeradwyo'r cyfrifon wedi'u harchwilio, y gobaith oedd y byddai'r rhain wedi cael eu cyflwyno i'r cyfarfod ar 23 Tachwedd 2022. Nid oedd hynny'n bosib ac mae'r adroddiad hwn yn egluro'r prif reswm dros hynny.

3. Beth yw'r Argymhellion?

3.1 Nodi'r sefyllfa fel y cyflwynir yn yr adroddiad diweddar hwn.

4. Manylion yr adroddiad

Cefndir

Mae dyletswydd statudol ar y cyngor i baratoi datganiad cyfrifon sy'n cydymffurfio â'r safonau cyfrifo a gymeradwyir. Mae'n rhaid i'r aelodau etholedig gymeradwyo'r cyfrifon a archwiliwyd yn ffurfiol ar ran y cyngor. Mae'r rôl hon wedi cael ei dirprwyo i'r Pwyllgor Llywodraethu Corfforaethol. Bellach mae'r cyfrifon drafft wedi eu cwblhau ac wedi'u

Ilofnodi gan y Pennaeth Cyllid ar 27 Mehefin (2 Awst y llynedd). Mae'r cyfrifon drafft wedi bod ar gael i'w harchwilio yn ôl y gofyn a hefyd wedi bod ar gael i'r cyhoedd i'w harchwilio rhwng 15 Gorffennaf a 11 Awst.

Fel sydd wedi digwydd dros y blynyddoedd diwethaf fe gyhoeddodd Llywodraeth Cymru ganllawiau yn nodi, oherwydd effaith parhaus Covid, y byddai terfynau amser statudol ar gyfer cwblhau cyfrifon Drafft a chyfrifon wedi'u Harchwilio yn cael eu hymestyn fel y nodwyd yn y tabl isod. Cymerodd CSDd y penderfyniad cynnar i gyhoeddi rhybudd (gweler isod) i nodi na fyddwn yn anelu at y dyddiad cau cynnar statudol ond y byddai'n cyflawni'r dyddiadau cau diwygiedig. Cymerwyd y penderfyniad hwn mewn ymgynghoriad ag Archwilio Cymru ac roedd modd iddyn nhw asesu eu gallu i gwblhau'r gwaith archwilio angenrheidiol.

Mae "Rheoliad 10(1) Rheoliadau Cyfrifon ac Archwilio (Cymru) 2014 (fel y'i diwygiwyd) yn ei gwneud yn ofynnol bod Swyddog Ariannol Cyfrifol Cyngor Sir Ddinbych yn arwyddo ac yn dyddio'r datganiad cyfrifon, ac yn ardystio eu bod yn cynrychioli safbwynt cywir a theg o sefyllfa ariannol y corff ar ddiwedd y flwyddyn y mae'r datganiad yn gysylltiedig â hi ac o incwm a gwariant y corff ar gyfer y flwyddyn honno. Yn ôl y Rheoliadau, mae rhaid i hyn gael ei gwblhau erbyn 31 Mai 2022.

Mae terfynau amser statudol 2020/21 i'w gweld yn y tabl isod ynghyd â'r terfynau amser estynedig a ddarparwyd gan Lywodraeth Cymru oherwydd parhad y pandemig.

<i>Eitem</i>	<i>Dyddiad Cau Statudol</i>	<i>Dyddiad Cau Estynedig</i>
Datganiad Cyfrifon Drafft	31 Mai 2022	31 Awst 2022
Datganiad Cyfrifon wedi'i Archwilio	31 Gorffennaf 2022	30 Tachwedd 2022

Nid yw'r Swyddog Ariannol Cyfrifol wedi arwyddo ac ardystio'r cyfrifon ar gyfer y flwyddyn a ddaeth i ben 31 Mawrth 2022 oherwydd effaith Covid-19 ar adnoddau staff a gwaith ychwanegol o gwblhau'r cyfrifon eleni, a bydd yn gweithio o fewn y terfynau amser estynedig."

Sefyllfa Bresennol

Ar y cyfnod hwn roedden ni'n dal i obeithio cyflwyno'r Cyfrifon Terfynol i'r pwyllgor. Fodd bynnag dros y misoedd diwethaf mae problem newydd wedi achosi oedi. Mae Archwilio Cymru wedi darparu'r crynodeb canlynol o'r sefyllfa:

“Mae Cod Ymarfer Sefydliad Siartredig Cyllid Cyhoeddus a Chyfrifyddiaeth LASAAC ar gyfer Cyfrifeg Awdurdod Lleol yn y Deyrnas Unedig (y Cod) angen asedau Isadeiledd i gael eu mesur yn defnyddio sail mesur cost hanesyddol a'u cario ar gost dibrisiad hanesyddol.

Mae archwilwyr Llywodraeth Leol yn Lloegr wedi codi pryderon ynglŷn â gwariant dilynol ar asedau Isadeiledd. Pan mae cyfansoddiad o ased yn cael ei newid, mae'r cod yn disgwyl i'r cyfanswm cludo ar gyfer yr hen gyfansoddiad i beidio â chael ei gydnabod er mwyn osgoi cyfri ddwywaith a bydd y cyfansoddiad newydd yn cael ei adlewyrchu yn y cyfanswm cludo ar gyfer yr ased Isadeiledd.

Oherwydd anawsterau ymarferol o roi'r cyfansoddiad cyfrifo ar waith ar gyfer cydnabod a pheidio ag adnabod cyfansoddiadau wedi'u newid ar gyfer asedau Isadeiledd mae'r rhan fwyaf o awdurdodau lleol wedi methu â chydymffurfio â'r gofyniad i asesu gwerth llyfr net y cyfansoddiad wedi'i newid ac wedi trin y cyfanswm ar gyfer y cyfansoddiad sydd wedi'i newid fel sero. Y rheswm dros hyn yw bod y cyfansoddiad sydd wedi'i newid yn cael ei ystyried i fod wedi'i ddarfod yn llwyr ar y pwynt y mae'n cael ei newid. Y pryder a gododd yr archwilwyr yw bod yna bosib diffyg tystiolaeth i gefnogi'r dybiaeth hwn. O ganlyniad, a heb unrhyw ddatrysiad, mae yna berygl y byddai datganiadau ariannol yr awdurdod lleol yn gymwys yn hyn o beth.

Rôl Bwrdd Cod Cyfrifeg Awdurdod Lleol Sefydliad Siartredig Cyllid Cyhoeddus a Chyfrifyddiaeth LASAAC yw ystyried i ba raddau y dylai Safonau Adrodd Ariannol Rhyngwladol fod yn berthnasol i awdurdodau lleol ac i addasu a dehongli safonau cyfrifeg i fynd i'r afael â'r cyd-destun sector cyhoeddus. Hyd yma dydi Sefydliad Siartredig Cyllid Cyhoeddus a Chyfrifyddiaeth LASAAC ddim wedi gallu dod o hyd i ffordd ymlaen a fydd yn bodloni pryderon archwilio a'r gofyniad i ddefnyddio dull o safon uchel i adrodd ar y sefyllfa ariannol.

Mae Llywodraeth Cymru yn ymgynghori ar hyn o bryd ar ddiystyru statudol mewn perthynas â'r broblem hon tra bod ateb parhaol yn cael ei ddatblygu o fewn y Cod, a fydd yn gwella'r broses o adrodd ar y sefyllfa ariannol yn y maes hwn.

O dan y Safonau Rhyngwladol ar Archwilio (Awdurdod Diogelu Annibynnol) 260, mae angen i Archwilio Cymru i gyfathrebu materion perthnasol i'r archwiliad o'r Datganiad Cyfrifon i'r rheiny gyda chyfrifoldeb llywodraethu, lle mai'r Cyngor yw'r Pwyllgor Llywodraethu ac Archwilio. Wedi trafod y mater ased Isadeiledd gydag Archwilio Cymru eu safbwynt nhw yw nad oes modd rhoi safbwynt ar y datganiadau ariannol nes bod y broblem wedi cael ei datrys. Felly, bydd cymeradwyaeth ffurfiol o'r Cyfrifon yn cael eu gohirio tan ddyddiad arall pan fydd y broblem wedi'i datrys."

Yn amlwg dyma siomedigaeth fawr er mae'n gwbl ddealladwy. O safbwynt y gwasanaeth dylid nodi'r oedi parhaus i gymeradwyo'r cyfrifon mewn modd amserol. Yn arbennig effaith yr oedi ar y gallu i gyflawni gwaith arall fel:

- Cefnogi'r broses adrodd ar y gyllideb cyfalaf
- Adnabod Arbedion a rhoi gwybod am y Cynllun Ariannol Tymor Canolig
- Cefnogaeth sydd ei angen ar gyfer y Cyfrif Refeniw Tai - Cynllun Busnes Stoc Dai
- Unrhyw welliannau gwasanaeth i brosesau ariannol
- Ceisiadau am wybodaeth / adroddiadau gan bwyllgorau
- Prosiect System Ariannol
- Yr angen i gyflawni o leiaf rhai o'r swyddogaethau hyn sydd hefyd yn effeithio ar allu'r gwasanaeth i ymateb i ymholiadau gan AC ynghylch y Datganiad Cyfrifon.

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

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

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

Does dim costau uniongyrchol ychwanegol yn codi o ganlyniad i'r adroddiad hwn. Fodd bynnag mae gan y gwasanaeth y staff sydd ei angen ar gyfer cymeradwyo cyfrifon Medi, felly byddai rhagor o oedi yn y dyfodol yn golygu costau ychwanegol er mwyn lleihau'r effaith ar waith arall wedi'i amlygu yn Adran 4.

7. Beth yw prif gasgliadau'r Asesiad o'r Effaith ar Les?

Barn broffesiynol y Swyddog Adran 151 yw nad oes angen Asesiad o'r Effaith ar Les ar gyfer yr adroddiad hwn.

8. Pa ymgynghoriadau sydd wedi'u cynnal gyda Chraffu ac eraill?

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

9. Datganiad y Prif Swyddog Cyllid

Mae'r Datganiad Cyfrifon yn elfen allweddol o fframwaith llywodraethu'r cyngor. Mae'n bwysig bod aelodau etholedig yn cael eu sicrhau bod y cyfrifon wedi cael eu cynhyrchu yn unol â'r safonau perthnasol a bod y broses sy'n sail i gynhyrchu'r cyfrifon yn gadarn. Er ei fod yn siomedig bod yr amserlen wedi methu eto eleni mae'n braf nodi bod yr endid sengl drafft o'r Datganiad Cyfrifon wedi'u paratoi o fewn yr amserlenni gwreiddiol.

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

Byddai'r cyngor yn torri ei ddyletswydd statudol pe na fyddai'n gallu cymeradwyo'r cyfrifon erbyn 30 Tachwedd heb hysbysiad pellach - ar hyn o bryd mae'n cael ei lunio er mwyn ei gyflwyno mewn da bryd.

11. Pŵer i wneud y penderfyniad

Dan Adran 151 Deddf Llywodraeth Leol 1972, mae'n ofynnol i awdurdodau lleol wneud trefniadau i weinyddu eu materion ariannol yn briodol. Mae Deddf Archwilio Cyhoeddus

(Cymru) 2004 yn ei gwneud yn ofynnol i'r Archwilydd Penodedig archwilio ac ardystio cyfrifon y cyngor, a rhaid iddo fod yn fodlon bod y cyfrifon wedi cael eu cwblhau yn unol â Rheoliadau Cyfrifon ac Archwilio (Cymru) 2018.

Cyfarfod	Eitem (disgrifiad / teitl)		Pwrpas yr adroddiad	Angen penderfyniad (oes/nac oes)	Awdur – swyddog cyswilt
25 Ionawr 2023					
	1	Materion a Gyfeiriwyd gan y Pwyllgorau Craffu (os oes rhai)	Derbyn materion a godwyd gan y Pwyllgorau Craffu		Rhian Evans – Cydlynnydd Craffu
	2	Adroddiadau Rheoleiddio Allanol a Dderbyniwyd yn ddiweddar (os oes rhai)	Ystyried unrhyw adroddiad sydd wedi'i dderbyn		Nicola Kneale – Pennaeth Gwasanaeth Dros Dro, Gwella Busnes a Moderneiddio – Rheolwr Tîm Cynllunio Strategol
	3	Diweddariad Archwilio Mewnol	Darparu'r wybodaeth ddiweddaraf i'r pwyllgor ar gynnydd Archwilio Mewnol		Archwilydd Mewnol
	4	Rhaglen Gwaith i'r Dyfodol			Gwasanaethau Democraidd
		Adroddiadau			
	5	Cynllunio'r Gweithlu			Gary Williams – Swyddog Monitro
	6	Adroddiad dilynol – Archwilio Mewnol – Rheoli Contractau	Derbyn y wybodaeth ddiweddaraf yn dilyn adolygiad sicrwydd isel Archwilio Mewnol		Prif Archwilydd Mewnol
	7	Adroddiad dilynol – Archwilio Mewnol – Eithriadau	Derbyn y wybodaeth ddiweddaraf yn dilyn adolygiad sicrwydd isel Archwilio Mewnol		Prif Archwilydd Mewnol

Cyfarfod	Eitem (disgrifiad / teitl)		Pwrpas yr adroddiad	Angen penderfyniad (oes/nac oes)	Awdur – swyddog cyswilt
	8	Prosiectau Cyfalaf – Adroddiad Arian At Raid			Pennaeth Cyllid – Steve Gadd
	9	Datganiad Strategaeth a Diweddariad Rheoli Trysorlys			Pennaeth Cyllid – Steve Gadd
	10	Adroddiad Blynyddol Chwythu'r Chwiban			Gary Williams, Pennaeth y Gwasanaethau Cyfreithiol, AD a Democraidaidd
	11	Adroddiad Blynyddol Drafft			Gary Williams, Pennaeth y Gwasanaethau Cyfreithiol, AD a Democraidaidd
8 Mawrth 2023					
	1	Materion a Gyfeiriwyd gan y Pwyllgorau Craffu (os oes rhai)	Derbyn materion a godwyd gan y Pwyllgorau Craffu		Rhian Evans – Cydlynnydd Craffu
	2	Adroddiadau Rheoleiddio Allanol a Dderbyniwyd yn ddiweddar (os oes rhai)	Ystyried unrhyw adroddiad sydd wedi'i dderbyn		Nicola Kneale – Pennaeth Gwasanaeth Dros Dro, Gwella Busnes a Moderneiddio – Rheolwr Tîm Cynllunio Strategol
	3	Rhaglen Gwaith i'r Dyfodol			Gwasanaethau Democraidaidd
		Adroddiadau			
26 Ebrill 2023					

Cyfarfod	Eitem (disgrifiad / teitl)		Pwrpas yr adroddiad	Angen penderfyniad (oes/nac oes)	Awdur – swyddog cyswilt
	1	Materion a Gyfeiriwyd gan y Pwyllgorau Craffu (os oes rhai)	Derbyn materion a godwyd gan y Pwyllgorau Craffu		Rhian Evans – Cydlynnydd Craffu
	2	Adroddiadau Rheoleiddio Allanol a Dderbyniwyd yn ddiweddar (os oes rhai)	Ystyried unrhyw adroddiad sydd wedi'i dderbyn		Nicola Kneale – Pennaeth Gwasanaeth Dros Dro, Gwella Busnes a Moderneiddio – Rheolwr Tîm Cynllunio Strategol
	3	Diweddariad Archwilio Mewnol	Darparu'r wybodaeth ddiweddaraf i'r pwyllgor ar gynnydd Archwilio Mewnol		Archwilydd Mewnol
	4	Rhaglen Gwaith i'r Dyfodol			Gwasanaethau Democraidaidd
		Adroddiadau			
	5	Adroddiad Blynyddol Drafft y Pwyllgor Llywodraethu ac Archwilio	Cyflwyno adroddiad blynyddol Llywodraethu ac Archwilio i'r Cyngor Llawn		Gary Williams – Swyddog Monitro
14 Mehefin 2023					
	1	Materion a Gyfeiriwyd gan y Pwyllgorau Craffu (os oes rhai)	Derbyn materion a godwyd gan y Pwyllgorau Craffu		Rhian Evans – Cydlynnydd Craffu

Cyfarfod	Eitem (disgrifiad / teitl)		Pwrpas yr adroddiad	Angen penderfyniad (oes/nac oes)	Awdur – swyddog cyswilt
	2	Adroddiadau Rheoleiddio Allanol a Dderbyniwyd yn ddiweddar (os oes rhai)	Ystyried unrhyw adroddiad sydd wedi'i dderbyn		Nicola Kneale – Pennaeth Gwasanaeth Dros Dro, Gwella Busnes a Moderneiddio – Rheolwr Tîm Cynllunio Strategol
	3	Rhaglen Gwaith i'r Dyfodol			Gwasanaethau Democraidd
		Adroddiadau			
	4	Adroddiad Rhannu Pryderon Blynnyddol			Gary Williams – Swyddog Monitro
26 Gorffennaf 2023					
	1	Materion a Gyfeiriwyd gan y Pwyllgorau Craffu (os oes rhai)	Derbyn materion a godwyd gan y Pwyllgorau Craffu		Rhian Evans – Cydlynnydd Craffu
	2	Adroddiadau Rheoleiddio Allanol a Dderbyniwyd yn ddiweddar (os oes rhai)	Ystyried unrhyw adroddiad sydd wedi'i dderbyn		Nicola Kneale – Pennaeth Gwasanaeth Dros Dro, Gwella Busnes a Moderneiddio – Rheolwr Tîm Cynllunio Strategol
	3	Diweddariad Archwilio Mewnol	Darparu'r wybodaeth ddiweddaraf i'r pwyllgor		Archwilydd Mewnol

Cyfarfod	Eitem (disgrifiad / teitl)		Pwrpas yr adroddiad	Angen penderfyniad (oes/nac oes)	Awdur – swyddog cyswilt
			ar gynnydd Archwilio Mewnol		
	4	Rhaglen Gwaith i'r Dyfodol			Gwasanaethau Democrataidd
		Adroddiadau			
	5	Diweddariad ac adolygiad Rheolaeth Trysorlys			Steve Gadd – Pennaeth Cyllid
20 Medi 2023					
	1	Materion a Gyfeiriwyd gan y Pwyllgorau Craffu (os oes rhai)	Derbyn materion a godwyd gan y Pwyllgorau Craffu		Rhian Evans – Cydlynnydd Craffu
	2	Adroddiadau Rheoleiddio Allanol a Dderbyniwyd yn ddiweddar (os oes rhai)	Ystyried unrhyw adroddiad sydd wedi'i dderbyn		Nicola Kneale – Pennaeth Gwasanaeth Dros Dro, Gwella Busnes a Moderneiddio – Rheolwr Tîm Cynllunio Strategol
	3	Rhaglen Gwaith i'r Dyfodol			Gwasanaethau Democrataidd
		Adroddiadau			
	5	Adroddiad Blynyddol Iechyd a Diogelwch Corfforaethol	Ystyried rheolaeth iechyd a diogelwch CSDd yn ystod 2021-2022.		Rheolwr Iechyd a Diogelwch Corfforaethol – Gerry Lapington
	6	Adroddiad Diogelwch Tân	Derbyn adroddiad blynyddol ar y rhaglen		Rheolwr Diogelwch Tân – Dawn Jones

Cyfarfod	Eitem (disgrifiad / teitl)		Pwrpas yr adroddiad	Angen penderfyniad (oes/nac oes)	Awdur – swyddog cyswilt
			Diogelwch Tân a'i pherfformiad.		
22 Tachwedd 2023					
	1	Materion a Gyfeiriwyd gan y Pwyllgorau Craffu (os oes rhai)	Derbyn materion a godwyd gan y Pwyllgorau Craffu		Rhian Evans – Cydlynnydd Craffu
	2	Adroddiadau Rheoleiddio Allanol a Dderbyniwyd yn ddiweddar (os oes rhai)	Ystyried unrhyw adroddiad sydd wedi'i dderbyn		Nicola Kneale – Pennaeth Gwasanaeth Dros Dro, Gwella Busnes a Moderneiddio – Rheolwr Tîm Cynllunio Strategol
	3	Diweddariad Archwilio Mewnol	Darparu'r wybodaeth ddiweddaraf i'r pwyllgor ar gynnydd Archwilio Mewnol		Archwilydd Mewnol
	4	Rhaglen Gwaith i'r Dyfodol			Gwasanaethau Democraidd
		Adroddiadau			

EITEMAU'R DYFODOL			
	1	Adroddiad Archwilio Cymru – y diweddaraf	Nicola Stubbins – Archwilio Cymru
	2	Comisiynu Lleoliadau Cartref Gofal Pobl Hŷn (y diweddaraf)	Nicola Stubbins – i gyflwyno adroddiad i'r pwyllgor pan fydd y wybodaeth ar gael

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

Dyddiad Diweddarau: 15/11/2022 SJ

Mae tudalen hwn yn fwiadol wag

Adroddiad i'r	Pwyllgor Llywodraethu ac Archwilio
Dyddiad y cyfarfod	23rd Tachwedd 2022
Aelod Arweiniol / Swyddog:	Cyng/Cllr Gill German / Cyng/Cllr Elen Heaton / Nicola Stubbins
Awdur yr Adroddiad	Nicola Stubbins, Cyfarwyddwr Corfforaethol
Teitl	Gwybodaeth Report – Materion recriwtio a chadw staff mewn gwasanaethau cymdeithasol

1. Am beth mae'r adroddiad yn sôn?

- 1.1. Heriau recriwtio a chadw staff mewn Gwasanaethau Cymdeithasol Plant ac Oedolion
- 1.2. Effaith heriau recriwtio a chadw mewn Gwasanaethau Cymdeithasol Plant ac Oedolion
- 1.3. Camau sy'n cael eu cymryd i liniaru'r heriau hyn

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

- 2.1. Yng nghyfarfod olaf y Pwyllgor Llywodraethu ac Archwilio, gofynnodd yr Aelodau am adroddiad gwybodaeth yn amlinellu'r camau sy'n cael eu cymryd i liniaru heriau recriwtio a chadw staff ym maes Gofal Cymdeithasol Plant ac Oedolion.

3. Beth yw'r Argymhellion?

- 3.1. Bod y Pwyllgor yn nodi'r adroddiad ac yn ystyried a oes angen rhagor o graffu

4. Manylion yr adroddiad

- 4.1 Mae Gwasanaethau Cymdeithasol Plant ac Oedolion Lleol yn darparu ystod eang a chymhleth o wasanaethau statudol, gyda llawer ohonynt yn gofyn am staff arbenigol a chymwysterau proffesiynol. Maent hefyd yn darparu amrywiaeth o wasanaethau atal ac ymyrraeth gynnar, sy'n aml yn cael eu hystyried yn anstatudol gan eu bod yn tueddu i gael eu hariannu grant, fodd bynnag mae Deddf Gwasanaethau Cymdeithasol a Lles Cymru 2014 bellach yn ei gwneud yn ofynnol i

LA's ddarparu'r rhain. Yn ogystal â hyn, mae'r Awdurdod Lleol yn comisiynu ystod eang o wasanaethau gofal cymdeithasol y mae'n parhau i fod yn statudol gyfrifol amdanynt.

4.2.4.2. Oherwydd natur Gwasanaethau Cymdeithasol a Gwasanaethau Gofal Cymdeithasol, mae'r sector hwn yn cael ei reoleiddio'n drwm.

4.3.4.3. Cydnabyddir bod argyfwng cenedlaethol, ledled y DU, recriwtio a chadw mewn Gofal Cymdeithasol, ar draws y rhan fwyaf os nad pob rôl. Mae'r argyfwng hwn yn cael ei adlewyrchu yn y Gwasanaethau Iechyd hefyd. Mae gwasanaethau gofal cymdeithasol yn chwarae rhan hanfodol mewn llwybrau gofal iechyd - gan gadw pobl yn dda am hirach y tu allan i'r ysbyty a galluogi rhyddhau adref yn gynt, mwy diogel. Felly, mae'r sector yn chwarae rhan hanfodol wrth amddiffyn capasiti'r GIG a'i allu i ddarparu gofal diogel o ansawdd uchel. Mae effaith yr heriau hyn yn golygu bod pobl yn colli allan ar ofal a chefnogaeth hanfodol, gan eu gadael yn llai annibynnol, yn fwy agored i niwed ac yn fwy tebygol o ddibynnu ar wasanaethau gofal iechyd. Ond nid perthynas unffordd yw hon - mae diffyg capasiti o ran gofal sylfaenol a gofal cymunedol hefyd yn ffactor pwysig, sy'n arwain at fwy o bwysau mewn gwasanaethau gofal cymdeithasol.

4.4. Am flynyddoedd lawer mae gweithlu gwasanaethau cymdeithasol DCC wedi aros yn weddol sefydlog er gwaethaf yn genedlaethol y sector gofal cymdeithasol sy'n profi heriau mawr sy'n gysylltiedig â recriwtio a chadw staff. Fodd bynnag, yn sgil digwyddiadau fel COVID-19 a Brexit, mae cyfraddau swyddi gwag DCC bellach wedi codi'n sydyn. Mae'r heriau hyn yn rhoi pwysau ar y sector cyfan, ei weithwyr, a'i ddefnyddwyr, gydag Awdurdodau Lleol a darparwyr gofal yn gorfod dibynnu fwyfwy ar staff asiantaeth drud.

4.5. Mae Gwasanaethau Cymdeithasol yn colli staff yn aml oherwydd y tâl a'r amodau gwell a gynigir gan Awdurdodau Lleol cyfagos a'r Bwrdd Iechyd Lleol, yn aml ar gyfer rolau tebyg ond llai heriol. Yn fwy diweddar, ac yn rhannol o ganlyniad i drefniadau gweithio mwy hyblyg, mae Asiantaethau Recriwtio wedi cynyddu yn sylweddol / gwella eu cyflogau a'u telerau ac amodau.

4.6. Pan fyddwn yn recriwtio rydym yn aml ond yn gallu disodli staff profiadol sydd â gweithwyr sydd newydd gymhwyso neu ddibrofiad nad ydynt yn gallu ymgymryd â gwaith mwy cymhleth ac sydd wedi'u gwahardd mewn deddfwriaeth rhag cyflawni tasgau penodol. Mae llawer o ddechreuwyr newydd yn staff iau, sydd newydd gymhwyso, ac mae cyfraddau cyfnod mamolaeth wedi cynyddu'n ddiweddar.

4.7. Mae heriau recriwtio a chadw a brofwyd gan DCC Gwasanaethau Cymdeithasol Plant ac Oedolion yn effeithio ar ei allu i gyflawni ein cyfrifoldebau statudol. Er bod staff yn gweithio'n ddi-baid dros y ddwy flynedd ddiwethaf, mae lefelau anghenion heb eu diwallu, heb eu diwallu neu eu diwallu ar gam yn cynyddu, ac mae'r sefyllfa'n gwaethygu. Mae'r niferoedd cynyddol o bobl sydd angen gofal a chymhlethdod cynyddol eu hanghenion yn llawer mwy na'n gallu i gwrdd â nhw.

4.8. 4.8. Gallai methiant DCC i gyflawni ei gyfrifoldebau statudol arwain at:

- Marwolaeth, anaf neu esgeulustod i blentyn neu oedolyn sydd ag anghenion gofal a chymorth
- Her gyfreithiol
- Niwed i enw da
- Cosb gan Gorff Rheoleiddio

Mae effaith recriwtio a chadw staff o fewn CS wedi'i nodi gan AGC yn ei arolygiad o wasanaethau amddiffyn plant. Dyma'r llythyr canfyddiadau wedi'r arolygiad hwn nododd AGC 'Mae recriwtio a chadw staff gofal cymdeithasol yn faes sy'n peri pryder cenedlaethol. Mae'n faes arbennig o bryder o fewn timau derbyn ac ymyrraeth mewn gwasanaethau plant yn awdurdod lleol Sir Ddinbych. Mae'r sefyllfa bresennol yn rhoi pwysau sylweddol ar staff y canfu ein bod wedi'u neilltuo, gan anelu i sicrhau'r canlyniadau gorau i blant a'u teuluoedd. Mae staff yn gweithio'n anhygoel o galed i geisio cwrdd â'r galw, ac yn aml yn gweithio oriau hir. Rhaid i'r awdurdod lleol sicrhau gweithlu digonol sydd wedi ymgymhwyso'n addas.'

4.9. Mae heriau recriwtio a chadw staff yn rhoi mwy o bwysau ar staff sy'n weddill ym mhob tîm, gan effeithio'n negyddol ar eu lles a'u lefelau cynyddol o absenoldeb heb ei gynllunio. Mae'r defnydd o staff asiantaeth hefyd yn cael effaith negyddol ar ysbryd staff parhaol sy'n cael eu talu'n sylweddol llai na'u cymheiriaid asiantaeth. Ble mae'r cymhelliant i aros a pheidio symud i asiantaeth? Mae risg o fewn y

gweithlu presennol nad yw materion perfformiad a gallu yn cael eu herio'n gadarn gan fod Rheolwyr yn amharod i fentro staff sy'n gadael neu'n mynd i ffwrdd ar absenoldeb oherwydd salwch.

4.10. Mae rhai Awdurdodau Lleol cyfagos wedi gwneud penderfyniad i dalu atodiad o'r farchnad. Gall mabwysiadu dull Atodiad o'r Farchnad liniaru'r Risg Cyflog Cyfartal drwy leddfu grymoedd y farchnad. Fodd bynnag, y risg o Atodiad Marchnad yw y bydd yn tanio'r rhyfel ymgeisio parhaus rhwng cyflogwyr rhanbarthol, a gall effeithio ar rolau eraill o fewn y meysydd gwasanaeth hynny, h.y. Uwch Ymarferwyr, Dirprwy Reolwyr Tîm a Therapyddion Galwedigaethol.

4.11. Mae tueddiadau cyffredinol yn anhawster llenwi swyddi / staff yn gadael:

- Graddfeydd cyflog uwch a gynigir gan awdurdodau cyfagos / bwrdd iechyd / asiantaethau recriwtio wedi'u gwaethygu gan yr argyfwng costau byw
- Mwy o gymhlethdod / risg o waith
- Anhawster i ddod o hyd i / comisiynu gofal a chymorth priodol gan gynnwys gofal preswyl a gofal cartref
- Swyddi wedi'u hariannu dros dro / ansicrwydd ynghylch parhau i ariannu swyddi
- Cyflog uwch mewn rolau eraill sy'n cael eu hystyried fel bod â llai o gyfrifoldeb / pwysau
- Pwysau gwaith oherwydd llwyth gwaith uwch
- Cyhoeddusrwydd negyddol – diwylliant 'ar fai'
- y pandemig yn creu ymdeimlad o "losgi allan" a lleihau parodrwydd ymgeiswyr posib i symud i'r sector
- O fewn y sector gofal preswyl a gofal cartref nid yw rhai staff eisiau, neu'n teimlo'n methu, gweithio mwy o oriau oherwydd gallai effeithio ar fudd-daliadau eraill

5.0 Swyddi gwag presennol mewn gwasanaethau plant – gan gynnwys ymyrraeth gynnar ac atal gofal plant

Rôl	Na. o Swyddi Gwag	
Gweithiwr Cymdeithasol	12	Hysbysebwr sawl gwaith inc. ar Raddfa Gyflog newydd
Uwch Ymarferydd	1	Hysbysebwr sawl gwaith

Uwch weithiwr cymorth i deuluoedd	1	Cais newydd gau, 5 cais
Gofal plant: Arweinydd Ystafell Hanfodol Cymru Cynorthwyyr Gofal Plant Hanfodol Cymru Cynorthwy-ydd Gofal Plant	7	Hefyd ei gwneud yn ofynnol: Rolling Supply Childcare Assistant gan mai dim ond 1 aelod cyflenwi sydd gan staff ar hyn o bryd. Mae'r swyddi hyn i gyd wedi bod allan fel rhan o ymgyrch recriwtio fwy ers mis Gorffennaf. Ry'n ni wedi gorfod ymestyn 3 gwaith.
Teuluoedd yn Gyntaf / Dechrau'n Deg: TAF Admin post (clawr MAT) hysbysebir 4 gwaith (dim diddordeb). Newydd gael dyddiad cau ar y 5ed tro ac mae ganddynt 5 ap i'r rhestr fer Swyddog Cyfeirio a Systemau Teuluoedd yn Gyntaf - hysbysebwyd 3 gwaith dim ymgeiswyr o gwbl Dechrau'n Deg Portage/Arweinydd Tîm Datblygu Iaith Cynnar Arweinydd Tîm Gofal Plant Dechrau'n Deg	4	Hysbysebwyd sawl gwaith
Therapydd Galwedigaethol LIFT	1	Hysbysebwyd sawl gwaith
Cyfanswm	26	Plus 4 ar gyfnod mamolaeth

(As at 31/10/22)

5.1 Swyddi gwag presennol mewn Gwasanaethau Cymdeithasol i Oedolion

Rôl	Na. o Swyddi Gwag	
Gweithiwr Cymdeithasol	6	Hysbysebir sawl gwaith inc. ar Raddfa Gyflog newydd
Therapydd galwedigaethol	1	Hysbysebir sawl gwaith inc. ar Raddfa Gyflog newydd

Dirprwy Reolwr Tîm	1	Hysbysebwyd sawl gwaith
Cydlynnydd Tîm Adnoddau Cymunedol	1	Hysbysebwyd sawl gwaith
Annibyniaeth yn y cartref yn cefnogi gweithwyr	4	hysbysebu 20 gwaith ac wedi adolygu nifer y swyddi gwag a'r oriau sydd ar gael ond yn dal heb eu llenwi
Cynorthwy-ydd Gofal Llys Awelon	1	hysbysebu 8 gwaith ers Hyd 21
Gweithwyr Iechyd a Gofal Cymdeithasol Gogledd a De DCC	3	hysbysebu 8 gwaith ers Hyd 20
Gweithiwr Cymorth Llety	1	hysbysebu 8 gwaith ers Hyd 20
Gweithiwr Cymorth Ailalluogi	1	hysbysebu 8 gwaith ers Hyd 20
Cymhorthydd Gofal Dydd Cysgod Y Gaer	1	hysbysebu 5 gwaith ers Awst 21
Cynorthwy-ydd Gofal Nos Cysgod Y Gaer	1	hysbysebu 5 gwaith ers Awst 21
Staff Gofal Cyflenwi - rolau amrywiol	5	rolling advert ond ymateb yn eithaf gwael, llawer o staff ar bwl rhyddhad fel ail swyddi
Cyfanswm	26	Plus 7 ar Gyfnod Mamolaeth (gyda 2 arall yn Rhag)

(Vacancies as at 31/10/22)

5.2 Rheoli Absenoldeb Arfaethedig a Chyfnod Mamolaeth

Yn ogystal â'r swyddi gwag presennol fel yr amlinellir yn y tabl uchod, mae'n rhaid i Blant a Gofal Cymdeithasol i Oedolion hefyd jyglo hawl blynyddol staff a hefyd staff ar Gyfnod Mamolaeth. Yn y gorffennol mae'r 'prinder' dros dro hyn wedi cael eu hisosod a'u cyfareddu gan y timau, fodd bynnag, o ystyried lefel y swyddi gwag a swyddi heb eu llenwi, mae hyn yn gynyddol broblematig ac mae'n creu hyd yn oed mwy o heriau o ran llwyth gwaith a morâl staff. Yn ogystal, pan fydd staff yn dychwelyd o Gyfnod Mamolaeth maen nhw'n aml yn gwneud hynny ar oriau llai gan eu bod yn gorfod cymryd gwyliau blynyddol o fewn cyfnod diffiniedig. Ar hyn o bryd mae gan Ofal Cymdeithasol Plant 4 aelod o staff ar gyfnod mamolaeth ac mae gan Ofal Cymdeithasol Oedolion 7 aelod o staff ar gyfnod mamolaeth.

6.0 Camau a gymerwyd i liniaru'r argyfwng recriwtio a chadw staff

6.1 Sefydlwyd Bwrdd Recriwtio a Chadw Gofal Cymdeithasol Corfforaethol dan gadeiryddiaeth y Cyfarwyddwr Corfforaethol, gyda chefnogaeth Adnoddau Dynol, Cyfathrebu, a Gweithio Sir Ddinbych. Datblygwyd cynllun gweithredu a gweithredwyd y rhan fwyaf o weithredoedd gan gynnwys:

- Penodi Arbenigwr Recriwtio Adnoddau Dynol penodol ar gyfer Gofal Cymdeithasol
 - Hysbyseb estynedig am swyddi gwag ym maes gofal cymdeithasol
 - Gwell pecynnau recriwtio
 - Dadansoddiad manwl o joiners a data leavers
 - Cysylltu â Gweithio Sir Ddinbych i gipio
- Ffeiriau Swyddi penodol a mynychu DCC mewn amryw o ddigwyddiadau cymunedol gan ganolbwyntio ar recriwtio gofal cymdeithasol
- Ymgyrch hysbysebu a chyfryngau cymdeithasol penodol yn canolbwyntio ar recriwtio gofal cymdeithasol inc. cerbydau lifrai a brandio DCC
- Dileu Gradd 7 i weithwyr cymdeithasol newydd a therapyddion galwedigaethol
- Dilyniant Gradd 8 i Radd 9 i Weithwyr Cymdeithasol a Therapyddion Galwedigaethol
- Ail-gyflwyno taliadau athrawon ymarfer
- Adolygiad o Weithwyr Cymdeithasol Iechyd Meddwl Oedolion
- Hawlio Ffioedd Cofrestru – proses wedi'i hadolygu a'i symleiddio
- Mae Adnoddau Dynol wedi gwneud cymhariaeth gynhwysfawr o ran tâl ac amodau ar draws 6 Awdurdod Lleol Gogledd Cymru a BIPBC

6.2 O ystyried bod yr argyfwng recriwtio a chadw staff yn fater cenedlaethol deallir bod terfyn ar nifer y camau y gall DCC eu cymryd ar ei ben ei hun i fynd i'r afael â'r her hon ac felly mae Aelodau Arweiniol ac Uwch Swyddogion hefyd wedi bod yn allweddol i godi'r mater hwn ar lefel ranbarthol a chenedlaethol drwy Gymdeithas Llywodraeth Leol Cymru (CLILC) a Chymdeithas Cyfarwyddwyr y Gwasanaethau Cymdeithasol (ADSS) Cymru.

6.3 Mae gan y Prif Dîm Gweithredol (CET) oruchwyliaeth a monitro rheolaidd o'r sefyllfa ac mae Recriwtio a Chadw Gofal Cymdeithasol yn eitem sefydlog gyda chyfarfodydd misol pwrpasol.

6.4 Mae'r Gofrestr Risg Gorfforaethol hefyd wedi cael ei hadolygu gan mai'r canlyniad yw bod "y risg o gamgymeriad diogelu neu ymarfer difrifol, lle mae gan y cyngor gyfrifoldeb, gan arwain at niwed difrifol neu farwolaeth" disgrifiad a rheolaethau wedi'u diweddarau. Mae'r sgôr cynhenid wedi cynyddu i adlewyrchu'r pwysau mae'r cyngor yn ei wynebu ac effeithiau newidiadau yn yr amgylchedd allanol (mae'r rhain wedi'u nodi yn y disgrifiad). Mae'r sgôr cynhenid wedi cynyddu o B2 – Risg Feirniadol: Tebygol / Effaith Uchel i A1 – Risg Critigol Bron yn sicr / Effaith uchel iawn. Mae'r sgôr gweddilliol wedi cynyddu o D2 – Risg Fawr: Annhebygol / Effaith Uchel i A1 – Risg Critigol Bron yn sicr / Effaith uchel iawn. Mae'r sgôr risg wedi cael ei gynyddu ar sail ein hasesiad bod y siawns o hyn yn digwydd yn uwch ar hyn o bryd nag yr oedd o'r blaen. Er nad ydym yn ystyried y tebygolrwydd fel "bron yn sicr o ddigwydd yn y rhan fwyaf o amgylchiadau" (sef y diffiniad o Debygolrwydd Risg A yn ein methodoleg risg), mae'r risg yn sicr wedi cynyddu. Felly, mae'n teimlo'n

briodol i gynyddu'r sgôr Tebygolrwydd Risg, ac mae hynny'n golygu ei gynyddu o B i A. Mae cynyddu'r sgôr risg yn galluogi'r risg i gael ei flaenoriaethu a'i ddwysáu ymhellach, sy'n teimlo'n briodol ac yn angenrheidiol ar hyn o bryd. Mae'r effaith wedi cael ei gynyddu oherwydd rydyn ni'n gwybod bod y risg yn uwch o ran tebygolrwydd ac er gwaethaf ein rheolaethau, rydym ar derfynau'r hyn y gellir ei wneud i leihau'r tebygolrwydd o'r risg. Mae'r risg y tu hwnt i'n chwant.